Baldrige National Quality Program • National Institute of Standards and Technology • Technology Administration • Department of Commerce

# 2004 Scorebook

## for Business, Education, and Health Care

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# SECTION I

## Scorebook Instructions

# INTRODUCTION AND GENERAL INSTRUCTIONS

## Introduction

This scorebook, which serves several purposes in the applicant evaluation process, provides Examiners with

1. A concise, organized, and standardized tool for recording their comments and scores;
2. Guidance for writing key factors, key themes, and Item comments that are clear and informative; and
3. Examples of well-written comments for all three stages of the Award process, as well as for Site Visit Issue Worksheets.

Additionally, in Stages 2 and 3, the scorebook is used to record the findings of the Examiner team.

A suggested process for scorebook development (see page 2) illustrates a systematic method for evaluating an applicant.

## Timeliness

The cooperation of Examiners in adhering to due dates in the application review process is critical to the Baldrige National Quality Program's (BNQP's) success in every stage of the process.

## Confidentiality

The application, the scorebook, all notes, computer files, and all other information relating to the applicant are highly confidential. Examiners should not conduct their reviews in the presence of others or leave any applicant-related documents where other people can access them.

## Scorebook Completion and Return—Stage 1

*Before beginning the assessment,* ensure that you do not have a conflict of interest with the applicant. Complete the Conflict of Interest Determination Worksheet, and sign the Conflict of Interest Statement. If you detect a potential conflict of interest or an ethics issue, immediately call the BNQP Office.

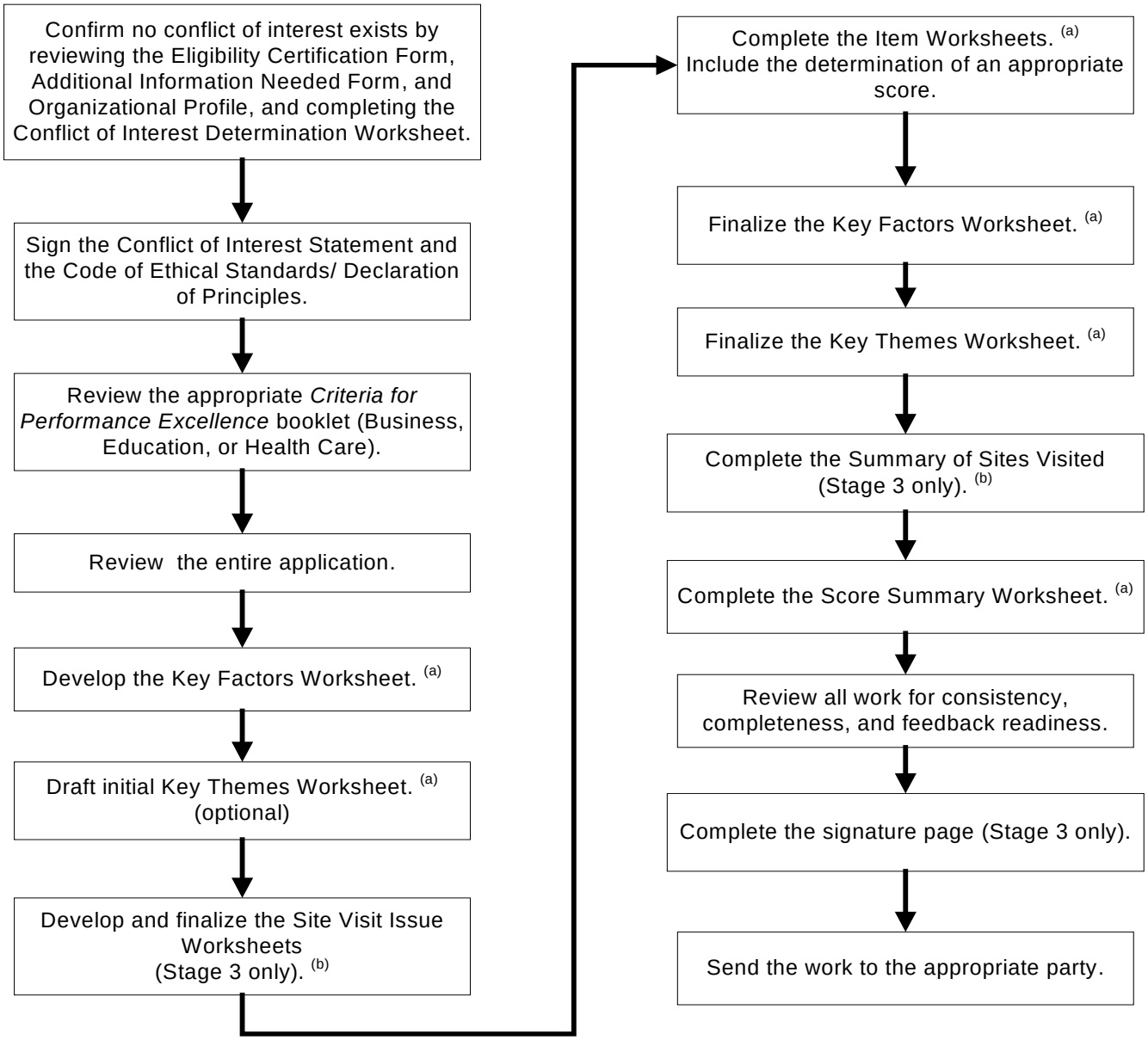
Use word processing software to prepare the scorebook. Prepare or save all scorebook worksheets in Word 6.0/95, 12 point, Times New Roman. In addition,

- use the worksheets and forms contained in this document, *or create your own using a similar format*;
- check that all required forms and worksheets are complete, and collate them as indicated in the instructions;
- record the scores on the appropriate Score Summary Worksheet (Business, Education, or Health Care);
- complete the checklist on page 66; and
- return a complete paper copy and diskette of the scorebook to the American Society for Quality (ASQ).

## Scorebook Completion—Stages 2 and 3

Detailed instruction on the completion of the scorebooks for Stage 2, Consensus Review and Stage 3, Site Visit Review will be provided at the appropriate time during the Award cycle.

# SCOREBOOK DEVELOPMENT PROCESS




Notes:

(a) Stage 1—Individual Examiners complete, develop, and finalize.
Stages 2 and 3 – Assigned team members develop and finalize.

(b) Stage 3 Only—Assigned team members develop and finalize.

# RECOMMENDED PROCESSES FOR EVALUATING APPLICATIONS AND COMPLETING SCOREBOOKS

## Quickstart Scorebook Preparation Instructions for theCase Study and Stage 1, Independent Review

☐ **Step 1—Review for Conflict of Interest.** ***(This is not necessary for the case study.)***

- Complete the Conflict of Interest (COI) Determination Worksheet.
- Review the applicant's Eligibility Certification Form, Additional Information Needed Form, and Organizational Profile.
- Pay particular attention to the organizational chart(s) and key customers, competitors, and suppliers.
- Notify the BNQP Office immediately if you identify any situation that could be perceived as a conflict of interest.

☐ **Step 2—Assemble materials.**

- Schedule 40–60 hours to complete your scorebook.
- Assemble documents and tools—the appropriate Criteria booklet and Scoring Guidelines, the application, pens, highlighters, a clock, and a calculator.
- Download the following documents from the BNQP Web site (www.baldrige.nist.gov/04Scorebook.htm):
  - 2004 Scorebook Full Version—PDF file. Print and use for instructions, guidance, and examples of completed work.
  - 2004 Scorebook Forms Only—Use this Word version to capture your evaluation.
- After completing the COI Determination Worksheet, sign the Conflict of Interest Statement and Code of Ethical Standards/Declaration of Principles. ***(This step is not necessary for the case study.)***

☐ **Step 3—Review the Criteria and read the application.**

- Review the Core Values and Concepts in the *2004 Criteria for Performance Excellence* booklet.
- Review Criteria requirements in the *2004 Criteria for Performance Excellence* booklet.
- Review the Scoring System and Scoring Guidelines in the Criteria booklet.
- Read the entire case study/application, highlighting and/or taking notes on the applicant's key processes and results.

☐ **Step 4—Draft an initial list of key factors.**

- Read the Criteria questions for Items P.1 and P.2.
- Read the case study/applicant's Organizational Profile that responds to the Criteria questions in Items P.1 and P.2.
- Use these responses to draft an initial list of key factors. (Key factors are attributes of an organization and its environment that help Examiners assess the organization's performance management system.)
- Record these key factors—listed in the order of the questions in P.1 and P.2—on the Key Factors Worksheet found in the scorebook.
- Add relevant key factors to the Key Factors Worksheet throughout your evaluation, as this is an iterative process.
- A sample of a completed Key Factors Worksheet can be found in Section II of the full version of the 2004 Scorebook.

☐ **Step 5—Draft an initial list of key themes (optional).**

- Having read the entire case study/application, draft a list of initial overall impressions, such as issues that cut across multiple Criteria Items or Categories or issues that relate to the Core Values and Concepts.
- Many Examiners find this helpful as a means to capture first impressions; however, if this step does not add value to your evaluation, it is not required.

☐ **Step 6—Evaluate each Process Item in Categories 1–6. (Complete Steps 6 and 8–12 for each Process Item.)**

- Read the specific Item to understand what it is asking for.
- Identify the most relevant 4–6 key factors that link the Item requirements to the application. This will be a subset of the key factors you recorded on the Key Factors Worksheet. The 4–6 key factors will vary depending on the focus of each Criteria Item.
- Read the relevant section of the application to understand the applicant's response. Be sure to credit the applicant for information provided elsewhere that responds to the Item.
- Continue to highlight, flag, mark up, and/or take notes as needed.
- Make a note of any measure/indicator you expect to see reported in results.
- (Move to Step 8 for instructions on developing summary notations for Process Items, then resume with Step 7.)

☐ **Step 7—Evaluate each Results Item in Category 7. (Complete Steps 7–12 for each Results Item.)**

- Read the specific Criteria Item to understand the results it is asking for.
- Identify the most relevant 4–6 key factors from your Key Factors Worksheet that link to the Results Item requirements or the corresponding Process Item.
- Read the relevant section of the application to understand the applicant's response. Be sure to credit the applicant for information provided elsewhere that responds to the Item requirements.
- Optional—Complete the Results Matrix (Scorebook Attachment 1) for each Item in Category 7, using one row for each figure. This matrix is designed to help you capture your observations, not replace your evaluation.
- Determine whether the results provided cover the areas of importance to the applicant. (Refer to your notes on results you expected to see.)

☐ **Step 8—Develop Summary Notations.**

- Develop summary notations—capturing the most important thoughts. These are phrases with enough detail to link thoughts to the Criteria and key factors. They should contain a **subject** (identified from the Criteria or the application), **verb(s) and descriptive language** (from the Criteria), **examples** (from the application), and citation of relevant figure numbers—but they need not be complete sentences.
- Reread the Criteria to identify gaps (any of the multiple requirements of the Item that are not addressed), if any, in the applicant's response and add these gaps to the list of summary notations.
- Consider key factors in evaluating deployment, for example, the number, locations, or types of employees.
- Check for connections in the applicant's response to different Criteria Items. Linkages may be called out in Criteria notes or may occur naturally.
- Pare the number of notations down to the 6–10 most relevant or important ideas for the Item (considering Criteria requirements and/or key factors). This may require combining like thoughts

and similar ideas related to the evaluation factors (e.g., approach, deployment, learning, integration, levels, trends, comparisons, and linkage) or to the applicant's key factors. This will help you avoid using the Criteria as a checklist.

- Designate the Area(s) to Address for each summary notation (e.g., 1.1a[1], 1.1a[2]) and the key factor(s) to which it relates.
- Considering the applicant's key factors, designate for each summary notation whether it is a +, -, ++, or --. Double pluses and minuses should indicate particularly important observations and those that have significant impact on the applicant's performance management system.

☐ **Step 9—Review the following evaluation factors, and revise your summary notations as necessary. (See optional Process Evaluation Tool, Attachment 1)**

- PROCESS ITEMS

  **Approach:**

  – "Approach" refers to the methods used to accomplish a process.
  – What approach or collection of approaches is discussed?
  – What Areas of the Criteria Item does the approach address (e.g., 1.1a[1-3], 1.1b)?
  – Is the approach systematic (with repeatable steps, inputs, outputs, key steps, time frames)?
  – Is there evidence that the approach is effective?
  – Is this approach (or collection of approaches) a key organizational process? Is the approach important to the applicant's overall performance? (If yes, clearly state why it is important and cite the key factors used to support your position.)
  – Are any of the multiple requirements of the Item that are not addressed (gaps) important to the applicant?

  **Deployment:**

  – To what extent is the approach deployed (shared or spread) throughout the organization (early stages, well deployed but with some variation among areas/work units, well deployed with no gaps, fully deployed)?

  **Learning:**

  – Has the approach been evaluated and improved? If yes, is the evaluation and improvement conducted in a fact-based, systematic manner (e.g., regular, recurring, data driven)?
  – Is there evidence of organizational learning (i.e., evidence that the learning from this approach is shared with other organizational units/other work processes)? Is there evidence of innovation and refinement from organizational analysis and sharing (e.g., evidence the learning is actually used to drive innovation and refinement)?

  **Integration:**

  – How well is the approach aligned with the applicant's organizational needs identified in the other Criteria Items and the Organizational Profile? How well is the approach integrated with these needs? (Examples of needs are strategic challenges, objectives, and related action plans; organizational mission, vision, and goals; key processes and measures; key customer/market segments and requirements; and employee groups and requirements.)

- RESULTS ITEMS

  **Performance levels:**

  – Are key results missing? What levels are provided? Is the measurement scale meaningful?

  **Trends:**

  – Are trends provided? Are they positive, negative, or flat? What is the rate of change (slope of the trend)?

  **Comparisons:**

  – Are comparisons provided? Are the comparisons to an industry sector average, key competitors, or best-in-class organizations? How does the applicant compare against other organizations?

  **Linkages:**

  – To what extent do results link to key factors and Process Items (e.g., important customer/patient/student, product and service, market, process, and action plan performance requirements)?

  – Are results segmented to help the applicant improve (e.g., by customer/student segment, employee type, process/education program or service)?

☐ **Step 10—Score each Item.**

- Review the Criteria requirements and summary notations for the Item.
- Note the balance and importance of strengths and opportunities for improvement (+, -, ++, --) relative to Item requirements and the key factors.
- Read the description for a 50–65 percent range in the Scoring Guidelines to determine whether the applicant would score within, above, or below this range.
- Remember that the applicant does not need to satisfy all of the four process or four results factors in the selected range; rather, the selected range should be the one that is most descriptive of the organization's achievement level.
- Continue reading the descriptors until you have determined the range that is most descriptive of the organization's achievement level.
- Read the range descriptions above and below the selected range to determine where, within the range, the applicant's score falls.
- For independent and case study review, determine a percent score that is a multiple of five for each Item.
- Verify the balance and importance of strengths and opportunities for improvement (+, -, ++, --) relative to the score. Higher scores should be reflected by a greater number of strengths and/or ++s. Lower scores should be reflected by a greater number of OFI's and/or - -s.

☐ **Step 11—Draft feedback-ready comments for each Item.**

- Write feedback-ready comments from your 6–10 notations for each Item on the Item Worksheets in the scorebook. ***For the case study only, create one full, feedback-ready strength and one full, feedback-ready opportunity for improvement for each Item. Other thoughts may remain as summary notations. During the Stage 1 evaluation, all comments must be feedback ready.**
- Ensure each comment contains essential components (subject identified from the Criteria or the application, verb[s] and descriptive language from the Criteria, examples from the application, and citation of figure numbers). Each comment should consist of a single, complete thought.

- Add language from the Scoring Guidelines if it will improve the comment. (Use the language from the scoring range you selected to supplement strength comments. Use language from the same or next higher scoring range to supplement OFI comments.)
- If not apparent, create a "so what" linking the comment to the relevant key factor. A "so what" is a statement that calls out the linkage between the Criteria requirement and an applicant key factor. "So whats" can be either implicit, especially in strengths, or explicit, written to explain why the comment is relevant and important to the applicant. "So whats" are not required for all comments. (Refer to Section II of the full version of the scorebook for guidance and examples.)
- For Results Items
  - Note levels, trends, comparisons, and linkages to the applicant's key organizational requirements, and gaps.
  - When citing complex figures, reference only the most important results.
  - Cite specific numbers or percentages.
- Sample Item comments and completed worksheets can be found in Section II of the full version of the 2004 Scorebook.

☐ **Step 12—Check all comments.**

- Make sure the number of comments totals 6–10 for each Item.
- Make sure that each comment is a single, complete thought.
- Ensure the comment is important to the applicant in light of the key factors. If not, consider eliminating it or combining it under a higher-level comment.
- Make sure the comment is tied to Criteria language and key factors.
- Make sure language from the Scoring Guidelines is used as appropriate.
- Make sure the language is crafted to make the comment actionable without being prescriptive.
- Use language from the Criteria to ensure applicants clearly understand the origin and meaning of the comment. (Applicants receive only the comments. All references to Areas to Address, key factors, +, ++, -, - -, and evaluation characteristics are removed from the final feedback report.)
- Eliminate conflicts between strengths and OFIs both within Items, across all Items, and within key themes.
- Ensure a balance of strengths and OFIs that reflects the applicant's score.
- Check that the importance of ++ and - - comments is captured through reference to the key factors and language from the Scoring Guidelines.
- Repeat Steps 6 and 8–12 for each Process Item. Repeat Steps 7–12 for each Results Item.

☐ **Step 13—Record all scores.**

- Complete the appropriate Score Summary Worksheet in the scorebook.
- Transfer the percentage score from each Item Worksheet to column B. The worksheet in the scorebook is programmed to calculate the scores for you; however, if you have difficulty, you may perform the calculations manually:
  1) Compute and record the point score for each Item in column C.
  2) Compute the total Item point scores for the Category and record the point score for the Category in column C (Sum C).
  3) Compute the total of all Item scores and record a grand total in space D.
- Verify scores and calculations.

☐ **Step 14—Prepare the Key Themes Worksheet.**

- Review questions A, B, and C on the worksheet.
- Key Theme comments generally should be at a higher level than Item comments and cut across multiple Areas to Address and/or Items.
- All Key Themes comments must be traceable to comments found in the Item Worksheets.
- Additional guidance and samples are found in Section II of the full version of the 2004 Scorebook.

**For question A**, read all of the strength comments for all of the Items in Categories 1–6.

- Identify any ideas/threads that appear in multiple Items or Categories. Reviewing the Core Values and Concepts from the Criteria can be helpful in identifying cross-cutting themes.
- Craft a comment for each of these potential key themes. Examples of these themes might include the applicant's process orientation highlighting the **approaches** where this orientation is seen; the applicant's **deployment** of its key processes to all appropriate work units with examples of the processes that appear to be fully deployed; the applicant's use of a systematic **learning**/evaluation and improvement methodology and examples across the Items where the methodology is used; the applicant's **integration** of its approaches with its strategic objectives or challenges, noting specific examples of this integration; or the applicant's demonstration of a specific **Core Value/Concept** from the Criteria**,** with specific examples from multiple Items.
- Review all of the ++ Item-level comments.
- Consider whether the ++ Item-level comments should be repeated as a key theme if not already covered by the strength themes you have crafted.
- For lower-scoring applicants, you will have few key themes comments under question A.

**For question B,** read all of the OFI comments for all of the Items in Categories 1–6.

- Identify any OFI ideas/threads that appear in multiple Items or Categories.
- Craft a comment for each of these potential key themes. Examples of these themes might include the applicant's lack of systematic **approaches,** highlighting areas where gaps are noted; the applicant's lack of clarity around or gaps in **deployment** of its key approaches to all appropriate work units, giving examples of where the lack of clarity or gaps exist; the applicant's opportunity to improve the **integration** of its approaches with its strategic objectives or challenges, noting specific examples of which objectives, challenges, or key student/patient/customer groups are not addressed by the applicant's approaches; or the applicant's **gaps** in responding to the Criteria requirements, giving examples of Criteria Areas not responded to and important to the applicant.
- Review all of the - - Item-level comments.
- Consider whether the - - Item-level comments should be repeated as a key theme if not already covered by the OFI themes you have crafted.
- For lower-scoring applicants, you would expect to see fewer comments in question A (strengths/role-model practices) than in question B (OFIs/concerns/vulnerabilities).

**For question C,** reread all of the comments for Category 7.

- Consider possible themes in the following areas:
  - **good performance levels and positive trends** across the Items in the measures most important to the applicant's organization, including how the applicant compares to other organizations
  - **poor performance levels and/or unfavorable trends** across the Items in the measures most important to the applicant's organization
  - **comparative data**—the absence of comparative data overall (giving specific examples from the Items) or the absence of a particular type of comparative data that would be important to the applicant in guiding its improvement efforts (e.g., competitive data, use of industry average as a

benchmark when the applicant's goal is to be world class or where the applicant performance already exceeds industry average)

- **missing data**—the absence of results addressing specific areas of Category 7 Items or the absence of results for key measures discussed in Categories 1–6 (e.g., measures of key approaches, key processes, and progress relative to strategic objectives, challenges, and action plans)
- **segmentation/Linkage**—the presence or absence of results addressing specific segments of applicant's customers, students, employees, locations, etc.

- Review all ++s and --s in the Category 7 Items.
- Consider whether these ++ and/or -- Item-level comments should be repeated as key themes if not already covered by the question C themes you have crafted.

☐ **Step 15—Finalize key factors.**

- Compare the key factors on your Item Worksheets with the initial list on the Key Factors Worksheet.
- Add additional key factors identified through the evaluation process.
- Determine whether any of the key factors on the original list that were not used should be added to the Item Worksheets.
- Alternatively, consider eliminating from the Key Factors Worksheet any of the key factors not used on your Item worksheets.

☐ **Step 16—Complete the checklist in the scorebook.**

☐ **Step 17—Assemble the scorebook in the following order:**

- Cover sheet
- Completed Conflict of Interest Determination Worksheet
- Signed Conflict of Interest Statement
- Key Factors Worksheet
- Key Themes Worksheet
- One Item Worksheet for each Item in ascending numerical order (e.g., 1.1, 1.2)
- Score Summary Worksheet
- Completed checklist
- Diskette containing your completed scorebook

☐ **Step 18—Record the information requested on the front cover of the scorebook, including the time spent in completing it.**

☐ **Step 19—Submit of your scorebook and return Applicant Materials.**

***(This step is not necessary for the case study. However, you must bring two paper copies of your scorebook with you to training.)***

- Insert the completed scorebook (paper copy and diskette) into the return envelope provided by ASQ. Return it to ASQ by the due date given on the front cover of the scorebook. Keep the application until you are asked to return it.
  - ASQ will provide the overnight mail service account number to be used.
  - The package should be sent by overnight carrier to ASQ's street address:

Malcolm Baldrige National Quality Award
American Society for Quality
600 North Plankinton Avenue
Milwaukee, WI 53203
(800) 248-1946, ext. 7205

- Contact ASQ if you do not receive an e-mail acknowledging receipt of the scorebook.
- Retain your computer files, notes, and the application until requested by ASQ to return your application and to destroy your computer files and notes. Please respond to that request immediately.
- ASQ will acknowledge receipt of the application by e-mail.

# SECTION II

## Scorebook Guidance

## COMMENT GUIDELINES

To develop a well-written comment, follow the guidelines listed below.

**Content Guidelines**

1. Use a **single, complete thought** to clearly specify the strength (using specific examples from the application) or OFI (using specific omissions or concerns identified from the application).
2. Address central requirements of the Criteria, and do not go beyond the requirements of the Criteria.
3. Structure each comment so that it contains a subject identified from the Criteria or the application; verb(s) and requirements from the Criteria; examples from the application; and citations of figure numbers, as appropriate.
4. Each comment should contain 1–3 sentences.
5. Include the 6–10 comments per Item that are most relevant and important to the applicant based on its key factors.
6. Draw linkages across Items or between an Item and the applicant's Organizational Profile.
7. Do not contradict other comments found elsewhere in the scorebook. Contradictions may occur when a writer does not clearly specify the strength or opportunity as noted above.
8. Be nonprescriptive. Refrain from using "could," "should," and "would."
9. Be nonjudgmental. Refrain from using terms such as "good," "bad," or "inadequate." State the observation in a factual manner, for example, "Customer satisfaction rates have increased over the past three years."

**Style Guidelines**

1. For Stages 1 and 2 scorebooks, use such words as "the applicant," "the organization," "the company," "the school," or "the health care system" to refer to the applicant. The applicant's name is used only in Stage 3 scorebooks.
2. Use the applicant's terminology when appropriate.
3. Use a polite, professional, and positive tone.
4. For Stages 1 and 2 scorebooks, tell what is missing if something "is not clear." However, do not use "it is not clear" in Stage 3 scorebooks. After the site visit, "it is not clear" is no longer appropriate.
5. Highlight an applicant's substantive strength or OFI, not the writing style or graphics. For example, avoid phrases such as "should be addressed in Item 3.2," "x axis is not clear," or "is poorly described," because these are criticisms of the writing, not the applicant's performance system.
6. Regardless of where the applicant places the information in the application, identify strengths or OFIs according to where the Item falls in the Criteria.
7. Use vocabulary and phraseology from the Criteria and the Scoring Guidelines.
8. Avoid jargon and acronyms unless they are used by the applicant.
9. Provide a figure number when reference is made to information from a figure.
10. Comments should be constructed using active voice.

To review examples of comments, see the sample Item Worksheets on pages 18–24 of the full version of the 2004 Scorebook.

# KEY FACTORS WORKSHEET

### Format Essentials

- Prepare the Key Factors Worksheet by listing the key factors (KFs) for the applicant. The purpose of the Key Factors Worksheet is to give a concise summary of the most important aspects of the applicant's organizational environment. Each KF describes a significant fact about or aspect of the applicant (e.g., environment, key working relationships, strategic challenges).
- Organize the key factors into five sections, using the Areas to Address (Organizational Environment, Organizational Relationships, Competitive Environment, Strategic Challenges, and Performance Improvement System) from the Preface: Organizational Profile section of the appropriate *Criteria for Performance Excellence* booklet.
- Limit the worksheet to 1–2 pages.
- Use phrases rather than complete sentences.
- Delineate phrases with bullets.
- Use a single line between phrases.

### Key Factors Worksheet (Sample from GeoOrb Polymers, North America Case Study)

To begin the evaluation process, review the applicant's Organizational Profile and the Additional Information Needed Form. List the key business/organization factors for this applicant, using the Areas to Address (Organizational Environment, Organizational Relationships, Competitive Environment, Strategic Challenges, Performance Improvement System) in the order presented in the Preface: Organizational Profile section of the appropriate *Criteria for Performance Excellence* booklet.

**P.1a. Organizational Environment**

- A single-site (Baton Rouge, Louisiana) manufacturer of polymer materials, split equally among high-density polyethylene (HDPE), linear low-density polyethylene (LLDPE), and polypropylene (PP) plastic raw materials
- Net sales: $1.97 billion in 2001 (34% HDPE, 30% LLDPE, and 36% PP) and $2.5 billion in 2002
- Member of the Polyolefins Business Group, which provides 50% of the revenues of the 80-year-old parent organization, as well as strategic direction to the applicant
- Vision: Skilled associates developing and delivering plastics for a healthy planet
- Three guiding Principles: Support Communities, Achieve Highest Ethical Standards, and Invest in a Future Society
- Mission: Provide high-quality polymers that make customers more competitive and provide value to shareholders
- Five Values: Growth Through Partnerships, Right Technology, Right Cost, Right Environment, and Successful Associates/Successful Teams
- Goal: 10% Return on Capital Employed (ROCE)
- Employee profile
  - Employees called "associates" regardless of position or level
  - 978 full-time associates in a nonunion environment
  - 300 full-time contract associates, primarily in maintenance functions
  - Manufacturing and quality control associates (about 50% of total) who work a rotating, 12-hour shift
  - All associates included in productivity base and safety tracking
  - All associates have a high school education, 12% hold associate's degrees, 31% have undergraduate degrees, and 15% have advanced degrees.
  - Experience: work requires significant technical competencies and experience; 40% of associates have more than 20 years with the company
- Major technologies: polyolefin process technology, catalyst technology, and computer technology
- On-site Technology Center with 100 resident engineers, chemists, and technicians
- Regulated by FDA, OSHA, Louisiana Department of Natural Resources (LDNR), and EPA; follows International Chemical Society (ICS) Corporate Active Prevention Process (CAPP) guidelines

**P.1b. Organizational Relationships**

- Board of Directors for the parent corporation composed of four internal and eight external, independent members; has four standing committees: Nominating, Compensation, Audit, and Litigation
- Parent corporation Management Committee has four standing committees (Ethics; Safety, Health, and Environmental; Human Resources; and Strategic Materials); Corporate Services provides guidance on standards of practice
- Corporate Services provides shared services to the applicant, including financial, regional marketing and sales, strategic purchasing, computing support, logistics, legal, safety, health, environmental, and human resources services.
- Sales primarily to U.S. market (75% of sales); remainder to Canada, Mexico, and the Caribbean (15% of sales) and to South America (10% of sales)
- No consumer products are made. Materials are used in packaging (60% of sales), construction (12% of sales), automotive applications, and other consumer and industry applications. Major markets: HDPE—food packaging, household chemical containers, and pipe and telecommunications conduits; LLDPE—rotational molding and plastic film; PP—compounders, fibers, automotive parts, and injection molding
- Customers are primarily repeat buyers. Large customers (25% of sales), medium customers (50% of sales), and small customers (25% of sales). Five distributors account for about 2% of total sales.
- Three critical quality and service requirements for all customers: product quality, product consistency, and on-time product delivery. Other key requirements: new properties (earliest possible access) and fair and flexible pricing at the prevailing, competitive market level
- Supplier base of about 500; 60 supply critical raw materials or services. Supplier categories: ethylene and propylene monomer suppliers; contractors; logistics suppliers; catalyst and additive suppliers; maintenance, repair, and operational (MRO) material suppliers; and internal staff services. Supplier requirements are quality, cost, and on-time delivery.

**P.2a. Competitive Environment**

- Capacity share of the total North American market: HDPE—14.8%, LLDPE—16.4% (dominant position), PP—11.7%
- Annual worldwide growth: HDPE and LLDPE—4–5% and PP—7–8%
- Growth will be driven by increased margins and lowered cost rather than expanded capacity.
- Competitive competencies: single-site production facility, multiple liaisons with Research and Development (R&D) partners, closely integrated customer relationships, and world-class business practices
- Sources of competitive/comparative data: Chemical World Clearinghouse and Polymer Industry Institute subscriptions; Compass Point Research, Incorporated, survey; Customer Satisfaction Institute; Performance Excellence Clearinghouse; OSHA; National Bureau of Labor and Statistics; LDNR; Recycle Institute of America; and the CAPP Program. Comparative data focusing on governance issues are difficult to acquire.

**P.2b. Strategic Challenges**

- Four threats/issues: profitability in a cyclical business; plastics of the future; maturing workforce; worldwide parent corporation expansion

**P.2c. Performance Improvement System**

- Hoshin Kanri for business planning, the Kaizen Improvement Process, and knowledge sharing through many mechanisms/Baldrige-based self-assessment and applications for various Japanese and American quality awards

# KEY THEMES WORKSHEET

### Format Essentials

- A key theme is a strength or an opportunity for improvement (OFI) that is common to more than one Item or Category (cross-cutting), is especially significant in terms of the applicant's KFs, and/or addresses a Core Value of the Criteria. This worksheet provides an overall summary of the key points in the evaluation of the application and is an assessment of the key themes to be explored if the applicant proceeds to Stage 2, Consensus Review and/or Stage 3, Site Visit Review.
- Organize the key themes into three sections to address the three questions concerning important strengths, significant opportunities, and key results.
- Limit the worksheet to 2–3 pages.
- Write comments that use complete sentences and that meet the Comment Guidelines.
- Delineate comments with bullets.
- Leave two lines between each of the comments.
- Write comments that are "feedback ready." These comments should consist of 1–3 complete, actionable, and nonprescriptive sentences that address the central requirements of the Criteria; cite specific examples from the application; are tied to the applicant's KFs and/or the Criteria Core Values, as appropriate; and meet both the content and style requirements of the Comment Guidelines.
- For questions a and b, comments should address the evaluation factors of approach, deployment, learning, and integration.
- For question c, comments should address favorable and unfavorable levels and trends, comparisons, segmentation, linkage, and results that were expected but not reported (gaps).

### Key Themes Worksheet (Sample from GeoOrb Polymers, North America Case Study)

The Key Themes Worksheet provides an overall summary of the key points in the evaluation of the application and is an assessment of the key themes to be explored if the applicant proceeds to Stage 2, Consensus Review and Stage 3, Site Visit Review. A key theme is a strength or opportunity for improvement that addresses a central requirement of the Criteria, is common to more than one Item or Category (cross-cutting), is especially significant in terms of the applicant's KFs, and/or addresses a Core Value of the Criteria.

The Key Themes Worksheet should respond to the three questions below:

**a. What are the most important strengths or outstanding practices (of potential value to other organizations) identified?**

- The applicant's Steering Team, made up of the President and his direct reports, sets and deploys short- and long-term directions that are aligned with the organization's Vision, Principles, Mission, Goal, and Values. The Steering Team uses several key approaches, including the Gyroscope Planning System to establish, monitor, and revise organizational direction; the Gyroscope Semi-Annual Calibration Process to collect and analyze data and address key factors; the Hoshin Catchball Process to communicate direction to associates; and Navigation Reviews to translate review findings into priorities for improvement. The Individual Development and Learning Map, which documents each associate's improvement plan and goals, identifies linkages to overall organizational objectives.

- The applicant uses a variety of listening and learning approaches to determine customer requirements. These include customer focus groups, satisfaction surveys, industry scans, and complaint data scans. Information from these listening posts is correlated and regularly analyzed using statistical processes, verified by using information from Customer Account Teams, and translated into new and modified products and services using Quality Function Deployment. These approaches to listening and learning are assessed as part of the Gyroscope Planning System cycle to keep current with changing market and business needs.

- The applicant uses an integrated business management software system called CHEM-ERS to capture both local and corporate data at the point of creation. The software provides financial, supply chain, manufacturing, and program management information, and it interfaces with the applicant's Customer Account Plans and the Complaint Management System. The Gyroscope Planning System drives the selection, alignment, and integration of data for tracking overall organizational performance, and the Knowledge Transfer and Benchmarking Group has established processes for collecting comparative data to support strategic decision making and innovation.

- A variety of approaches encourage knowledge sharing across the organization, including Communities of Practice, rotational teams, cross-functional job training, and WINGS. The applicant also shares performance results, Kaizen ideas, and best practices through numerous mechanisms, such as newsletters, closed-circuit television postings, e-mail bulletins, shared servers, Steering Team quarterly forums, weekly departmental meetings, and bulletin boards.

- The applicant's team-based culture, including the Steering Team at the senior leader level, as well as self-directed, cross-functional, and cross-product teams at other organizational levels, helps promote cooperation, initiative, empowerment, and innovation. All associates participate on at least one work area team, and most participate on at least one cross-functional team. This approach helps reinforce new knowledge and skills, and it supports communication across the organization.

- To design value creation processes that meet key requirements, the applicant uses a 14-step Cartography Design Process that involves development of a control plan, as well as service trials and pilot testing before any commercial production is approved. The process is guided by a sponsor team, project leaders and owners, and customer champions, and it was refined recently to incorporate a supplier champion and a Safety, Health, and Environmental advisor for each project. The applicant seeks input from suppliers, partners, and customers, as well as appropriate associates and sponsor teams, in order to improve value creation processes to achieve better performance.

**b. What are the most significant opportunities, concerns, or vulnerabilities identified?**

- The applicant does not have a systematic approach for accomplishing effective succession planning or for using information on training needs. This may limit the applicant's ability to carry out its organizational strategy related to human resources. There also is little evidence of a systematic approach for evaluating and improving the efficiency and effectiveness of processes related to social responsibility.

- Although the applicant uses the Kaizen system in its team-based culture to capitalize on the diverse ideas and thinking of associates, it is not clear how the applicant capitalizes on the ideas and cultures of its diverse hiring communities. In addition, it is not evident that the applicant segments the individual factors driving associate satisfaction by different categories and types of associates or for a diverse workforce. This may limit the organization's ability to effectively address its Value of Successful Associates/Successful Teams.

- Although Business Development Teams determine and select customers, customer groups, and market segments as part of their input to the Gyroscope Planning System, there is little evidence of systematic approaches for differentiating customer listening and learning approaches for key customers or customer groups important to the applicant's business. In addition, while the applicant has stated that the importance of product and service attributes may differ among customer segments, it is not clear how this information is used in product and service planning, marketing, or other business development. This may impact the applicant's ability to achieve its growth strategies relative to new growth industries and markets outside the United States.

- While the applicant has identified four key strategic challenges—profitability in a cyclical business, worldwide expansion of the corporation, a maturing workforce, and plastics of the future—it is not clear how the applicant is addressing some of these challenges. For example, the Strategy Map does not address human resource issues related to international expansion or training needs associated with new technologies. The applicant also does not describe a process for effective succession planning for leadership positions, which may hinder its ability to address its maturing workforce challenge.

**c. Considering the applicant's key business/organization factors, what are the most significant strengths, opportunities, vulnerabilities, and/or gaps (related to data, comparisons, linkages) found in its response to Results Items?**

- Results for most of the measures presented demonstrate positive levels and trends. Specifically, the applicant demonstrates strong levels and trends in overall customer satisfaction, repurchase intent and perceived value, product quality, financial performance (Return on Capital Employed [ROCE] and Return on Net Assets [RONA], among others), and several operational measures.

- Results are not included for some areas of importance to the applicant's strategy and requirements. These gaps include measures related to customer access mechanisms; associate absenteeism; the effectiveness of hiring and career progression; the effectiveness of training and education; associate health, security, or ergonomics; plant stream factor; average maintenance turnaround; invoice accuracy; business forecast accuracy; Information System user feedback; data and information factors such as errors and security violations; and engineering design errors.

- Although the applicant's intent is that its performance results be the best in the industry, comparative data presented for many of the applicant's results include only industry average or top quartile for the industry. Without comparisons to the industry leader's performance, the applicant may have difficulty in effectively determining the size of performance gaps it needs to close.

- Results for some key measures are not segmented, including by customer group, product, or associate type. This may make it difficult for the applicant to assess its performance levels and trends across different customer and associate segments in order to drive effective decision making toward achieving its strategic objectives.

**Key Themes Worksheet**

# ITEM WORKSHEETS

### Format Essentials

- Complete one worksheet for each Item.
- Organize the information into three sections that address the most important key business/organization factors, strengths, and opportunities for improvement.
- Limit the worksheet to 1–2 pages.
- Capture and number the 4–6 most important KFs for the Item.
- Use a single, complete thought per comment. Each comment should contain a subject identified from the Criteria or the application, verb(s) and requirements from the Criteria, examples from the application, and citations of figure numbers, as appropriate. Comments should also be explicitly linked to the applicant's most appropriate KFs and reflect the appropriate scoring range.
- Write 1–3 sentences per comment.
- Provide 6–10 comments per Item.
- Write comments that meet the Comment Guidelines.
- Use notations (e.g., a, b, c and +, ++, - , - -) to delineate comments. In addition, for Item Worksheets, indicate which evaluation factors apply to the comments, i.e., whether the comment addresses the approach (A), deployment (D), learning (L), integration (I), performance levels (Le), trends (T), comparisons (C), linkages (Li), and/or gaps (G).
- Include a completed Site Visit Issues section for Stage 3 only—do not fill out this section for Stage 1 or Stage 2. This section will be completed during the planning phase of a site visit along with the Site Visit Issue Worksheets.
- Include a completed Change Due to Site Visit Findings section for Stage 3 only; do not fill out this section for Stages 1 and 2.

### Item Worksheet—Item 1.1 (Sample from the GeoOrb Polymers, North America Case Study)

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

| **Indicate the 4–6 most important key business/organization factors relevant to this Item.** | |
|---|---|
| 1. Mission: Provide high-quality polymers that make customers more competitive and provide value to shareholders<br>2. Vision is "Skilled associates developing and delivering plastics for a healthy planet."<br>3. Three guiding Principles: Support Communities, Achieve Highest Ethical Standards, and Invest in a Future Society<br>4. Five Values: Growth Through Partnerships, Right Technology, Right Cost, Right Environment, Successful Associates/Successful Teams | 5. Board of Directors for the parent corporation composed of four internal and eight external, independent members; has four standing committees: Nominating, Compensation, Audit, and Litigation<br>6. Approaches to performance improvement include Hoshin Kanri for business planning, the Kaizen Improvement Process, and knowledge sharing through many mechanisms. |

**Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.**

**Include a reference to the most relevant key factor(s).**

**Include an indication of which process evaluation factors are addressed in this comment (refer to page 5 in the full version of the scorebook)**

**A = Approach D = Deployment L = Learning I = Integration**

| +/++ | Item Ref. | KF Ref. | A/D/L/I | Strengths (Include figure references, as appropriate.) |
|---|---|---|---|---|
| + | a1 | 1-3,6 | A, D | The applicant's Steering Team, made up of the President and his direct reports, is responsible for setting and deploying short-term (one-year) and long-term (five-year) directions that are aligned with the Vision, Principles, Mission, Goal, and Values (Figure 1.1-1). The Steering Team uses the Gyroscope Semi-Annual Calibration (GSAC) Process as part of the Gyroscope Planning System (GPS) to establish, monitor, and revise organizational direction. |
| + | a1 | 1-4 | A | Senior leaders communicate values, directions, and expectations through a variety of approaches, including the Hoshin Catchball Process, the *Compass* newsletter, GPS meetings, recognition events, a Web page, closed-circuit television, banners and posters, and new associate orientation. |
| + | a2 | 2,4,6 | A,L, I | The applicant's team-based culture facilitates setting performance targets and planning, assists associates in analysis and problem solving, supports the development of new approaches and innovative solutions, and creates an environment for empowerment and associate involvement. Some teams operate at the work unit level, while others are cross-functional or cross-product, and all associates are on at least one team. |
| + | b | 3, 5 | A | The applicant's parent organization provides the primary governance system. An external accounting firm conducts quarterly and annual audits, and internal audits are conducted biannually. The Ethics Committee, a standing committee under the Management Committee, reviews all audit results. In addition, governance practices, including appointment of independent board members and consistent use of the *Code of Conduct,* help ensure protection of stockholder and stakeholder interests. |
| + | c1 | 1-4 | A, L, I | The Steering Team conducts weekly organizational performance reviews in one of four topic areas that also address three of the five Values. Monthly Navigation Reviews, which focus on company-level measures called Course Coordinates, are used to identify improvements and areas where strategy is at risk. Kaizen Improvement Project Teams are chartered and deployed throughout the applicant's organization to address at-risk areas. |

| –/– – | Item Ref. | KF Ref. | A/D/ L/I | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| - | b | 3,5 | A, I | Although the parent corporation's Board of Directors abides by principles for independent governance established by the Japanese Corporate Governance Forum (JCGF), it is not clear how these principles or the board's committee structure addresses management accountability, fiscal accountability, or the protection of stakeholder interests at the level of the applicant's organization. |

| | | | | |
|---|---|---|---|---|
| - | c2,3 | 1-4 | A, D, I | The process by which senior leaders translate performance review findings into priorities for improvement is not evident, and recent review findings are not provided. In addition, it is not clear how priorities and opportunities for improvement are deployed throughout the applicant's organization or to suppliers and partners to ensure organizational alignment. |
| - | c4 | 4 | A, L | Although the applicant uses an annual Leadership Assessment Session to evaluate Steering Team performance, there is no evidence of a process for systematically evaluating the performance of the CEO or the Board of Directors. Also, it is not clear how senior leaders use organizational performance review findings to improve the effectiveness of their own leadership or that of the leadership system. |

**Site Visit Issues (For Stage 3, Site Visit Use)**

- Verify that Course Coordinates are reviewed in monthly Navigation Reviews and that weekly reviews are focused on key topics and value. Clarify how review findings are translated into improvement priorities.
- Clarify how the governance system addresses management accountability, fiscal accountability, and the protection of stakeholder interests.
- Verify how senior leaders use the Hoshin Catchball Process and other approaches to communicate values, directions, and expectations to associates, and clarify how senior leaders communicate priorities and opportunities to suppliers and partners.
- Clarify how the applicant evaluates the performance of the CEO and Board of Directors, and clarify how senior leaders use organizational performance review findings to improve their leadership and the leadership system.

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

## Item Worksheet—Item 1.1

## Item Worksheet—Item 2.1 (Sample from GeoOrb Polymers, North America Case Study)

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

**Indicate the 4–6 most important key business/organization factors relevant to this Item.**

1. Member of the Polyolefins Business Group, which provides 50% of the revenues of the 80-year-old parent organization, as well as strategic direction to the applicant
2. Mission: Provide high-quality polymers that make customers more competitive and provide value to shareholders; Five Values: Growth Through Partnerships, Right Technology, Right Cost, Right Environment, and Successful Associates/ Successful Teams
3. Capacity share of the total North American market: HDPE—14.8%, LLDPE—16.4% (dominant position), PP—11.7%
4. Competitive competencies: single-site production facility, multiple liaisons with R&D partners, closely integrated customer relationships, and world-class business practices
5. Four key competitive threats and issues within industry: profitability in a cyclical business; plastics of the future; maturing workforce; worldwide parent corporation expansion
6. Approaches to performance improvement include Hoshin Kanri for business planning, the Kaizen Improvement Process, and knowledge sharing through many mechanisms.

**Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.**

**Include a reference to the most relevant key factor(s).**

**Include an indication of which process evaluation factors are addressed in this comment (refer to page 5 in the full version of the scorebook):**

**A = Approach** **D = Deployment** **L = Learning** **I = Integration**

| +/++ | Item Ref. | KF Ref. | A/D/ L/I | Strengths (Include figure references, as appropriate.) |
|---|---|---|---|---|
| + | a1 | 1,6 | A | The applicant conducts strategic planning using its GPS (Figure 2.1-1), which is modeled on the four-step Hoshin Kanri management philosophy. The GPS Process (Figure 2.1-2) starts with teams that incorporate external inputs and internal performance results; conduct appropriate analyses; combine Strengths, Weaknesses, Opportunities, and Threats (SWOT) analyses with external inputs to create a prioritization matrix to identify key issues; prioritize the gaps using the Analytical Hierarchy Process; and present recommendations to the Steering Team during the GSAC Process. During the GSAC Process, the Steering Team establishes a different or modified strategic direction, including new strategic objectives addressing short- (one-year) and long-term (five-year) time horizons, optimized scenarios, and new Course Coordinate goals and/or new metrics. |
| + | a2 | 6 | A, I | The GPS Process, described in Figure 2.1-2, ensures that a variety of key factors are addressed during strategic planning. These include customer and market needs (Customer Check); competitive environment (Yardstick Stretch); technological and other key innovations (Original Thought); and financial, societal, ethical, and other potential risks (Environmental Entry, Risk Reward). |
| + | a1,2 | 6 | A, L | The Steering Team assesses the overall effectiveness of the GPS Process each January to identify improvement opportunities for the next planning cycle. The decision to offset Global Scans by six months demonstrates evidence of |

| | | | | |
|---|---|---|---|---|
| | | | | at least one cycle of refinement in the GPS Process. |
| + | b1,2 | 2-5 | A, I | The applicant has identified its key strategic objectives (Future Courses) in its Strategy Map (Figure 2.1-3). The Future Courses, along with short- and long-term action plans and specific Course Coordinates, are grouped by key Value. The Strategy Map provides clear linkages among Future Courses, specific strategic challenges listed in the Organizational Profile, and Course Coordinates, which allows the applicant to determine when it is meeting goals and accomplishing action plans. |
| **-/- -** | **Item Ref** | **KF Ref** | **A/D/ L/I** | **Opportunities for Improvement (Include figure references, as appropriate.)** |
| - | a2 | 2,4,5 | A, I | Although the applicant includes inputs on regulations in its GPS Process (e.g., through the Environmental Entry Process), it is not clear how the GPS Process addresses regulations related to agencies the applicant identifies as part of its regulatory environment, including the Food and Drug Administration (FDA), Occupational Safety and Health Administration (OSHA), Louisiana Department of Natural Resources (LDNR), Superfund Amendment and Reauthorization Act (SARA) 313, and Environmental Protection Agency (EPA). |
| - | b2 | 3,5 | A, I | Although the Strategy Map identifies strategic objectives to address the challenges identified in the Organizational Profile, along with short- and long-term Strategy Maps for each challenge, it is not clear how the applicant ensures that the strategic objectives balance short- and longer-term challenges and opportunities. |
| - | b2 | 2,6 | A | It is not clear how the applicant ensures that its strategic objectives balance the needs of all key stakeholders, including the community. Although the community is a key stakeholder and Support Communities is one of three guiding Principles, community needs are not included within the Strategy Map. |

**Site Visit Issues (For Stage 3, Site Visit Use)**

- Verify how the applicant conducts strategic planning using the GPS, including how it addresses key factors in its strategic planning process using the processes described in Figure 2.1-2.
- Clarify whether the applicant addresses regulations related to key agencies in its regulatory environment in its strategic planning process.
- Clarify how the applicant ensures that its strategic objectives balance short- and longer-term challenges and opportunities.
- Clarify how the applicant ensures that its strategic objectives balance the needs of all key stakeholders.

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines)** _____

**Change from Consensus:** ____ **higher range** ____ **same range** ____ **lower range**

## Item Worksheet—Item 2.1

## Item Worksheet—Item 7.6 (Sample from GeoOrb Polymers, North America Case Study)

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

**Indicate the 4–6 most important key business/organization factors relevant to this Item.**

1. Three guiding Principles: Support Communities, Achieve Highest Ethical Standards, and Invest in a Future Society
2. Five Values: Growth Through Partnerships, Right Technology, Right Cost, Right Environment, and Successful Associates/Successful Teams
3. Board of Directors for the parent corporation composed of four internal and eight external, Independent members; has four standing committees: Nominating, Compensation, Audit, and Litigation
4. Regulated by FDA, OSHA, LDNR, and EPA; follows ICS CAPP guidelines

**Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.**
**Include a reference to the most relevant key factor(s).**

**Include an indication of which results evaluation factors are addressed in this comment (refer to page 6 in the full version of the scorebook):**
**Le = Performance Levels T = Trends C= Comparisons Li = Linkages G = Gaps**

| +/++ | Item Ref. | KF Ref. | Le/T/ C/Li | Strengths (Include figure references, as appropriate.) |
|---|---|---|---|---|
| + | a1 | 1,3 | Le, C | The applicant received internal audit ratings (Figure 7.6-1) of "satisfactory" or above in each of the last three audits (2000 through 2002); in 2002, its rating exceeded that of both the Business Group and the parent corporation. No incidents or concerns were noted on the applicant's recent external audits, and its accounting firm has filed 10Q and 10K reports without qualification. |
| + | a2 | 1, 3 | Le, C | The applicant's parent corporation aligns its corporate governance structure with the Japanese Corporate Governance Forum (JCGF), as shown in Figure 7.6-2. The corporation exceeds JCGF Principles and compares favorably to most large cap and chemical industry group companies. |
| + | a2 | 1,2 | Le,T,C | Associate attendance at Partners in Trust Seminars (Figure 7.6-3), a training event that discusses ethics and the applicant's Code of Conduct, has been 100% over the last two years (2001 and 2002). This compares favorably to the average of 90% for the Business Group and the parent corporation. In addition, there have been no ethical incidents reported through any of the applicant's feedback mechanisms, including customer surveys, the Customer Dissatisfaction Alert Process, and the Complaint Management System. |
| + | a3 | 3, 4 | Le,T,C | Results for environmental, health, and safety performance show generally positive trends. The level of implementation of key CAPP Scores (Figure 7.6-4) for pollution prevention, process safety, associate health and safety, community awareness and emergency response, distribution, and product safety all have improved over the last six years (1997 through 2002) and are well over industry averages. From 1996 through 2002, the number of EPA Reportables also decreased and exceeds top-quartile levels (Figure 7.6-5). Results for Waste to the Environment (Figure 7.6-6) show significant decreases from 1996 to 2002, and the total pounds of recycled material (Figure 7.6-7) increased to more than double the industry average from 1997 to 2002. |
| + | a4 | 1, 2 | Le, T | The percentage of associates who participate as volunteers more than tripled |

| | | | | |
|---|---|---|---|---|
| | | | | from 1996 to 2002, while the Total Volunteer Hours more than quadrupled to about 10,000 (Figure 7.6-8). |
| **-/- -** | **Item Ref.** | **KF Ref.** | **Le/T/ C/Li or G** | **Opportunities for Improvement (Include figure references, as appropriate.)** |
| - | a2 | 1,2,4 | G, Li | Although all associates attend the Partners in Trust seminars and no incidents of ethical wrongdoing have been reported, no actual results on ethics are provided, and no results are provided regarding the level of stakeholder trust in the governance of the organization. This gap may make it difficult for the applicant to assess the effectiveness of its corporate governance efforts. |
| - | a3 | 1,2,4 | G, Li | The applicant does not report results for several key measures related to regulatory and legal compliance, including compliance with OSHA 1910, energy consumption, hazardous materials reduction, FDA compliance, and LDNR regulatory compliance. |
| - | a4 | 1,2,4 | G, Li | Although the applicant describes education support within the community and social agency support as key community activities, no related results are provided. |
| - | a4 | 1,2,4 | G, C | The applicant does not report comparative data for several measures, including Waste to the Environment and Volunteer Hours and Participation. This gap may make it difficult for the applicant to assess its relative performance in these areas. |

**Site Visit Issues (For Stage 3, Site Visit Use)**

- Verify social responsibility results, including information updated since the application.
- Clarify whether comparative data are available for waste to the environment and for volunteer hours and participation.
- Clarify whether data exist for social responsibility measures such as OSHA 1910, energy consumption, hazardous waste, FDA compliance, LDNR regulatory compliance, community efforts (i.e., education support and social agency support), or ethics (including data on stakeholder trust).

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines)** _____

**Change from Consensus:** ____ **higher range** ____ **same range** ____ **lower range**

## Item Worksheet—Item 7.6

## BASIC COMMENT FORMAT FOR PROCESS ITEMS

| Strengths | | | | | |
|---|---|---|---|---|---|
| | **Subject from the Criteria or the Application**<br><br>"The senior leaders…"<br><br>"The applicant…" | **Verb(s) and requirements from the Criteria**<br><br>"communicate organizational values…"<br><br>"listens and learns to determine key customer requirements…" | **Transition**<br><br>"by…"<br>"through…"<br>"using…" | **Example(s) from the application** | **"so what"**<br><br>mostly implicit |
| **OFIs** | | | | | |
| **Introductory statement**<br><br>"Although…"<br><br>"It is not clear/apparent/ evident how/what…"<br><br>"The applicant does not address/report how/what…" | **Subject from the Criteria or the application**<br><br>"the applicant…"<br><br>"the senior leaders…" | **Verb(s) and requirements from the Criteria**<br><br>"develops and deploys action plans to…"<br><br>"uses relevant information from current and former customers to…" | | | **"so what"**<br><br>Implied or explicit—as needed, related to KFs/Criteria |

**Comment 1** *1.1a(1) – Strength

The senior leaders **(subject)** communicate organizational values and directions **(verb and requirements)** through the leadership system by **(transition)** weekly management meetings that involve supervisors at all levels and daily e-mails from the CEO to all supervisors **(examples)**.

**Comment 2** *3.1a(2) – Strength

The applicant **(subject)** listens and learns to determine key customer requirements **(verbs and requirements)** and their relative importance to customers' purchasing decisions through **(transition)** a variety of mechanisms. These include **(examples)** third-party surveys administered annually to all four customer segments and biannual focus groups for the advanced technology and commercial customer segments.

**Comment 3** *3.1a(2) – OFI

The applicant **(subject)** does not address how it uses information from former customers **(verb and requirements)** in its determination of key customer requirements and expectations, their relative importance to customers' purchasing decisions, and key product and service features **(implicit so what)**.

## EXAMPLES OF IMPROVING PROCESS COMMENTS

| Original Comment | *What is the problem?* | Improved Comment |
|---|---|---|
| **Item 1.1**<br>+ a/c The Leadership Team, along with other management committees throughout the organization, meets regularly and uses numerous excellent communication methods to describe their activities, for example, balanced scorecards, to all team members. Moreover, the Leadership Team communicates information about its planning via the same vehicles. By communicating so readily with all employees, the organization has made great strides towards inclusion and improved morale. | • Judgmental: "excellent," "great strides"<br>• Conveys more than one concept in the comment<br>• Includes "so what" that adds little value<br>• Goes beyond what is asked by Criteria | + a/c The senior leaders communicate expectations throughout the organization and review organizational performance using a balanced scorecard. |
| - a Although the Leadership Team attempts to create and maintain a focus on student learning; to communicate the organization's mission, vision, and core values; and to reinforce ethical behavior, it has been unsuccessful in communicating its message throughout the organization. The applicant should develop techniques that would enable this information to be cascaded throughout the organization. | • Judgmental: "unsuccessful"<br>• Prescriptive: "should develop techniques"<br>• Lacks a positive tone | - a It is not clear how members of the Leadership Team, other than the principal, set, deploy, and communicate organizational values, directions, and expectations. |
| + b The applicant's Governance Board plays an important role in ensuring independent audits. In addition, the Leadership Team ensures ethical behavior by all employees through the distribution of the Code of Conduct. | • Judgmental: "important"<br>• Vague: does not identify any specific information with regard to audits and the Governance Board<br>• Not a single thought—the second sentence addresses 1.2b, not 1.1b | + b The applicant's Governance Board addresses independence in internal and external audits by establishing and implementing a schedule of regular audits. These include quarterly and annual external audits by the ABC Accounting Firm. Internal audits are conducted biannually by an internal audit team. |

| | | | |
|---|---|---|---|
| **Item 2.1** | | | |
| + b | The methods to develop short-term organizational strategic objectives appear to be systematic, and address the expressed needs of all key stakeholders. The applicant works hard to ensure that the necessary stakeholders participate in the process, and it incorporates their input into the planning process. After the information is gathered, the applicant attempts to align the stakeholders' needs with the applicant's own strategic priorities. | • Wordy: Three sentences long; can be written more concisely<br>• Judgmental: "works hard to ensure"<br>• Doesn't reference appropriate figures from the application | + b Through the Strategic Planning Process (Figure 2.1-1), the applicant uses a systematic approach to ensure that its strategic objectives balance the needs of all key stakeholders (Figure 2.1-3). This approach involves all key stakeholders in focus groups at step 1 of the Strategic Planning Process and then involves at least one representative of each group at steps 2–6. |
| - a | The applicant's strategy development process, which is used for developing short-term plans and objectives, is illustrated in Figure 2.1-1. However, the application is lacking a description of how the company completes its longer-term planning. Without such a plan, the applicant's ability to ensure that its decisions are aligned with its strategic directions or its ability to track progress relative to its strategic objectives and action plans is compromised. | • Multiple concepts expressed in one comment<br>• Three sentences long<br>• "So what" is judgmental | - a Although the applicant uses a systematic strategy development process (Strategic Planning Process, Figure 2.1-1) to develop short-term plans and objectives, there does not appear to be a longer-term planning process. Thus, it is not clear how the applicant's planning process includes long-term considerations, such as market changes, customer requirements, and the competitive environment, or how it develops longer-term strategic plans and objectives. |

**NOTE: For site visits only.** The phrasing of Stage 3 OFI comments should specifically reflect the consequence of the opportunity for improvement, since the Site Visit Team obtains additional information and understanding of the issue as a result of the site visit. See the example below.

***Comment at Stages 1 or 2:***
"Although the applicant describes several methods to measure its performance, it **does not present** measures/indicators that are fully aligned with its strategic objectives. For example, The Dashboard (Figure 4.1) **does not appear to include** all categories in the strategic plan or branch-level measures, other than financial results. Without these measures, **it is not clear how** the applicant fully monitors progress toward achieving the objectives in its strategic plan."

***Comment after site visit:***
"Although the applicant uses several methods to measure its performance, **it does not track** measures/ indicators that are fully aligned with its strategic objectives. For example, the Dashboard **does not include** all categories in the strategic plan or branch-level measures, other than financial results. Without these measures, the applicant **is not able to monitor fully** its progress toward achieving the objectives in its strategic plan."

## WRITING EFFECTIVE COMMENTS FOR RESULTS ITEMS

To assist you in your analysis and in the writing of comments for Items in Category 7, you may find it helpful to complete the Results Matrix (Appendix 2).

Well-written Category 7 comments frequently address the following questions:

- Trend Analysis
  - Is the trend direction positive or negative?
  - What is the desirable direction?
  - Are explanations provided for significant positive or negative changes?
  - What is the rate of change?

- How does the result link to the **KFs in the Organizational Profile/or other Categories** (e.g., strategic challenges, supplier and partner relationships)? Are data presented in Category 7 for measures that are referred to in other Categories of the application?

- Are all important results presented? Are data focused on the critical organizational performance results (e.g., customer requirements, compliance with regulatory requirements)? Are there any gaps in the data?

- Is the amount of data provided sufficient (e.g., number of cycles of data for trend data, percentage of stakeholder population)?

- Are the data appropriately segmented?

- Do the data represent both short- and long-term priorities?

- How does the organization measure effectiveness, and are results for these measures presented?

- Are comparative data presented, what do they show, and are they appropriate for this applicant?

- What are the standard measures in this field? Is there any significance to a lack of these measures in the application?

- Are the data normalized (presented in a way that takes into account the various size/population factors)?

**Other Keys to Writing Effective Results Item Comments:**

- Start with a subject from the application or the Criteria.

- Include the time frame you are writing about—such as “in 2003” or “from 1997 to 2003.”

- Include the actual numbers observed in the levels or trends.

- Include a figure reference.

## EXAMPLES OF IMPROVING RESULTS COMMENTS

| Original Comment | *What is the problem?* | Improved Comment |
|---|---|---|
| **Item 7.1**<br>+ a The applicant has demonstrated great success with regard to how well its students have performed at transfer institutions. | • Omits reference to the figure showing results<br>• Omits specific numbers/data and time period<br>• Judgmental/ Value laden: "demonstrated great success" | + a Results for student success at transfer institutions (Figure 7.1-5) demonstrate improvements from 58% in 1995 to 85% in 2002 and indicate that the applicant's programs are aligned with the requirements of its receiving schools. |
| **Item 7.6**<br>+ a The applicant has expanded the number of external board members. | • Omits reference to figure showing results<br>• Omits specific data, e.g., percentage of increase, time period | + a Over the last three years, the applicant has increased the percentage of external board members from 25% to 60% (Figure 7.6-1), and it has appointed an external director as the head of its audit committee. These results are related to the applicant's strategy of achieving greater independence in governance and financial audits. |

# FLOWCHART—DEVELOPING COMMENTS FOR PROCESS ITEMS AND KEY THEMES

***Criteria Language***

**Criteria 1.1a(1)**

How do senior leaders set and deploy organizational values, short- and longer-term directions, and performance expectations? How do senior leaders include a focus on creating and balancing value for customers and other stakeholders in their performance expectations?

**Criteria 2.1a(1)**

What is your overall strategic planning process? What are the key steps? Who are the key participants? What are your short- and longer-term planning time horizons? How are these time horizons set? How does your strategic planning process address these time horizons?

**Criteria 5.2a(1)**

How do employee education and training contribute to the achievement of your action plans? How do your employee education, training, and development address your key needs associated with organizational performance measurement, performance improvement, and technological change?

***Application Language***

**Application 1.1**

"At the end of 1997, TNB adopted the concept of an extended leadership system that is used by many Baldrige Award recipients. The newly formed Executive Management Committee (EMC) extended the leadership system beyond the four partners to include the heads of the Retail, Commercial, Information Technology Management (ITM) and Operations, Human Resources, and Marketing and Communication divisions. The EMC also extends decision-making responsibility to the Business Excellence Manager, Risk Management Manager, and Acquisitions Manager.

"The EMC is responsible for driving the direction of the bank through the Strategic Planning Process (Figure 2.1-1), allocating both capital and human resources, reviewing progress against goals, and making midcourse corrections to the plan."

**Application 2.1**

"In 1998, a systematic and fact-based Strategic Planning Process (Figure 2.1-1) was introduced. The three-month process begins in August each calendar year with an off-site meeting of the EMC. The purpose of this meeting is to review the prior year's accomplishments and consider what needs to occur immediately and in the near future. Discussions are focused on identifying key strategies that will keep TNB competitive and accelerate progress toward the Vision of Legendary Service."

**Application 5.2**

"One of the key challenges facing TNB is the development of an associate workforce that can deliver against its Vision to provide Legendary Service. The TNB Strategic Planning Process (Figure 2.1-1) includes consideration of the education and training needed to achieve this goal; strategies to achieve a talented workforce are defined in the Human Resource Plan.

"…The Human Resource Plan balances longer-term training needs with ongoing, short-term needs of the organization. When longer-term needs are combined with training needs identified in the IPPs, a comprehensive picture is developed of how TNB's education and training program supports both individual and organizational goals."



(flowchart continues on next page)

### Item 1.1 Comment

"The applicant has formed an Executive Management Committee (EMC) to extend the leadership system and decision-making authority beyond the founding partners to include the leaders of key functional areas throughout the organization. These areas include Retail Banking, Commercial Banking, Information Technology Management (ITM) and Operations, Human Resources, and Marketing and Communications. The EMC also extends to key business process managers, including the Business Excellence Manager, Risk Management Manager, and Acquisitions Manager."

### Item 2.1 Comment

"To form the basis for the development of strategic objectives, various business areas conduct environmental scans to gather data related to customer needs, demographics, regulatory conditions, and human resource capability (Figure 2.1-3). These data are presented at the annual off-site strategic planning meeting to assist in identifying key strategies that will keep the organization competitive and accelerate progress toward the Vision of Legendary Service."

### Item 5.2 Comment

"The use of skill-based and performance-based pay linked to the PMDP supports high performance. Further, Trust Team members have identical PMDP goals related to team performance, which fosters cross-functional high performance. Also, IPPs directly link to the applicant's business strategies, target goals, and action plans, reinforcing a customer and business focus."

***Key Themes Comment Question A***

### Key Theme Comment

"The Executive Management Committee (EMC) sets and deploys the organization's directions using the Strategic Planning Process (Figure 2.1-1), reviews organizational performance and progress relative to goals, and makes mid-course changes in direction. The EMC includes the four partners, heads of key functional areas, e.g., the Retail Banking, Commercial Banking, Information Technology Management, Operations, HR, Marketing, and Communications divisions, and the managers of the business excellence, risk management, and acquisitions areas. The formation and breadth of the EMC appear to facilitate communication through the leadership system."

# SECTION III

## Scorebook Worksheets

# Scorebook

## for Business, Education, and Health Care

Examiner's Name _____ Number of Hours Worked _____

Applicant Number _____

Sent to Examiner _____

*Date*

Return the scorebook via overnight mail before _____

*Due date*

**Process Stage:**

☐ Stage 1 Independent Review ☐ Stage 2 Consensus Review ☐ Stage 3 Site Visit Review

**Criteria, Score Summary Worksheet, and Scoring Guidelines Used:**

☐ Business ☐ Education ☐ Health Care

Return the scorebook to

**Malcolm Baldrige National Quality Award**
American Society for Quality
600 North Plankinton Avenue
Milwaukee, WI 53203
(800) 248-1946, ext. 7205

# CONFLICT OF INTEREST DETERMINATION WORKSHEET

**IMMEDIATELY UPON RECEIPT OF THIS APPLICATION, PLEASE CHECK FOR CONFLICTS OF INTEREST.**

The purpose of this worksheet is to ensure that you do not have a real conflict of interest or what could be perceived as a conflict of interest with this applicant. The integrity of the Baldrige Program hinges in large part on the avoidance of conflicts of interest.

## Conflict of Interest Determination Process

***Step #1***

*Read the Eligibility Certification Form, the Additional Information Needed Form, the Organizational Profile, and the organization charts, and skim all figures in the application.*

***Step #2***

*Answer the following questions. If you answer "YES" or "DON'T KNOW (DK)" to one or more of the questions below, call BNQP (Sandra Byrne, 301-975-4812, or Deborah Smyth, 301-975-5312) immediately. Do not inquire within your own organization, as such inquiry could reveal the identity of the applicant.*

| | | | |
|---|---|---|---|
| 1. Is the applicant your current employer, client, or parent organization (parent)? | Yes | No | DK |
| 2. Is the applicant currently owned or controlled by your employer, client, or parent (e.g., another subunit of your parent)? | Yes | No | DK |
| 3. Is the applicant your employer, your client, or your employer's or client's parent from more than five years ago? | Yes | No | DK |
| 4. Have you recently (within five years) left or retired from the applicant, the applicant's parent, or another subunit of the parent? | Yes | No | DK |
| 5. Is your employer or client listed as a key supplier, partner, customer, competitor, or benchmark of the applicant? | Yes | No | DK |
| 6. Is the applicant or the applicant's parent a key partner, customer, or competitor of your employer, your parent, or a subdivision of your employer? ("Key" may be defined as constituting at least 5 percent.) | Yes | No | DK |
| 7. Did you help prepare or review (paid or unpaid) all or part of the application or evaluate the applicant within the last five years? | Yes | No | DK |
| 8. Is your employer, parent, or client an applicant in the same Baldrige Award category? | Yes | No | DK |
| 9. Did you help prepare the Baldrige application of another current applicant in this same Award category? | Yes | No | DK |

10. Do you or a family member have a financial interest in the applicant, the applicant's parent, or a key competitor of the applicant? (This includes financial interests such as stocks, bonds, and retirement funds. Mutual fund holdings are of concern only if the mutual fund family is the applicant.) Yes No DK

11. Do you have considerable knowledge about an applicant through personal interactions (paid or unpaid), company relationships, family, or friends? Yes No DK

12. Do you know of any reason why there might be a real or perceived conflict with this applicant? Yes No DK

    Examples of such conflicts include the following:
    - Do you know anyone on the organization charts?
    - Does a close relative work for the applicant?
    - Have you made a personal visit to the applicant or vice versa?
    - Have you recently interviewed with the applicant?
    - Have you or your organization been involved in benchmarking studies with the applicant?

# CONFLICT OF INTEREST STATEMENT

As a member of the Malcolm Baldrige National Quality Award Board of Examiners, I have voluntarily disclosed to the administrators of the Award Program the identity of my employers and clients—past, present, or potential—whose interest could be favorably or unfavorably affected by my actions while acting as a member of the board. This includes disclosure of

- organizations in which I have financial holdings, including stock ownership and pension interests
- affiliations that may present or seem to present a conflict of interest, including my current and recent employers' key customers, key suppliers, key competitors, and other key stakeholders, as well as the employers of my immediate family members and/or significant others

I confirm the accuracy of the submissions I have made, and I reaffirm my willingness to abide by the Code of Ethical Standards/Declaration of Principles on the following page.

I reaffirm that I am not aware of any personal conflict of interest with this applicant. I will not disclose any information gained through the evaluation of the applicant about the applicant; the applicant's clients, competitors, customers, or suppliers; or any other associated person or organization to anyone other than those in the Baldrige National Quality Program directly involved with the applicant review process.

Name of Award Applicant_____

Signature of Examiner_____ Date_____

***For Site Visits Only***

Program Concurrence_____ Date _____

# CODE OF ETHICAL STANDARDS/DECLARATION OF PRINCIPLES

Members of the Malcolm Baldrige National Quality Award Board of Examiners pledge to uphold their professional principles in the fulfillment of their responsibilities as defined in the administration of Public Law 100-107, the Malcolm Baldrige National Quality Improvement Act of 1987, which establishes the Malcolm Baldrige National Quality Award.

In promoting high standards of public service and ethical conduct, board members

- shall conduct themselves professionally, with truth, accuracy, fairness, respect, and responsibility to the public
- shall not represent conflicting or competing interests nor place themselves in such a position where the board member's interest may be in conflict, or appear to be in conflict, with the purposes and administration of the Award
- shall safeguard the confidences of all parties involved in the judging or examination of present or former applicants
- shall not offer confidential information or disclosures that may in any way influence the Award integrity or process, currently or in the future
- shall not serve any private or special interest in fulfillment of the duties of a Judge or Examiner, therefore excluding, by definition, the examination of any organization or subunit of an organization by which he/she is employed or with which a consulting arrangement is in effect or anticipated
- shall not serve as Examiner of a primary competitor, customer, or supplier of any organization or subunit of an organization of which he/she is an employee, has a financial interest or is involved in, or with which he/she anticipates a consulting arrangement
- shall not intentionally communicate false or misleading information that may compromise the integrity of the Award process or decisions therein
- shall never approach an organization they have evaluated for their personal gain, including the establishment of an employment or consulting relationship
- if approached by an organization they have evaluated, shall not accept employment from that organization for a period of five years after the evaluation

Furthermore, it is pledged that as a member in good standing of the Malcolm Baldrige National Quality Award Board of Examiners, each board member shall strive to enhance and advance the Malcolm Baldrige National Quality Award as it serves to stimulate American companies and organizations to improve quality, productivity, and overall performance.

Applicant Number Examiner's Initials

## Key Factors Worksheet

To begin the evaluation process, review the applicant's Organizational Profile and the Additional Information Needed Form. List the key business/organization factors for this applicant, using the Areas to Address (Organizational Environment, Organizational Relationships, Competitive Environment, Strategic Challenges, and Performance Improvement System) in the order presented in the Preface: Organizational Profile section of the appropriate *Criteria for Performance Excellence* booklet.

- 

**(For Stage 3, Site Visit Use)** Thinking about the questions in the Organizational Profile, did the team have any new insights about the applicant as a result of the site visit? If so, please describe.

## Key Factors Worksheet

Applicant Number Examiner's Initials

## Key Themes Worksheet

The Key Themes Worksheet provides an overall summary of the key points in the evaluation of the application and is an assessment of the key themes to be explored if the applicant proceeds to Stage 2, Consensus Review and Stage 3, Site Visit Review. A key theme is a strength or opportunity for improvement that addresses a central requirement of the Criteria, is common to more than one Item or Category (cross-cutting), is especially significant in terms of the applicant's key factors, and/or addresses a Core Value of the Criteria.

The Key Themes Worksheet should respond to the three questions below:

**a. What are the most important strengths or outstanding practices (of potential value to other organizations) identified?**

- 

**b. What are the most significant opportunities, concerns, or vulnerabilities identified?**

- 

**c. Considering the applicant's key business/organization factors, what are the most significant strengths, opportunities, vulnerabilities, and/or gaps (related to data, comparisons, linkages) found in its response to Results Items?**

- 

## Key Themes Worksheet

## Item Worksheet—Item 1.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

*(Use the mouse or arrow keys to move from section to section and within a section.)*

**Indicate the 4–6 most important key business/organization factors relevant to this Item.**
*(Use the mouse or arrow keys to move to a new key factor. Hitting the Return key will generate an additional number.)*

1. 4.
2. 5.
3. 6.

**Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.**

**Include a reference to the most relevant key factor(s).**

**Include an indication of which process evaluation factors are addressed in this comment (refer to page 5 in the full version of the scorebook):**

**A=Approach D=Deployment L=Learning I=Integration**

*(Use the mouse or Ctrl Tab to move to the next column within the comment field; use the Rtn or Enter key to begin a new comment.)*

| +/++ | Item Ref. | KF Ref. | A/D/ L/I | Strengths (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

| – /– – | Item Ref. | KF Ref. | A/D/ L/I | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

**Item Worksheet—Item 1.1** **Percent Score ____**

## Item Worksheet—Item 1.2

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

*(Use the mouse or arrow keys to move from section to section and within a section.)*

**Indicate the 4–6 most important key business/organization factors relevant to this Item.**
*(Use the mouse or arrow keys to move to a new key factor. Hitting the Return key will generate an additional number.)*

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|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

**Item Worksheet—Item 1.2** **Percent Score ____**

## Item Worksheet—Item 2.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

*(Use the mouse or arrow keys to move from section to section and within a section.)*

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|---|---|---|---|---|
| | | | | |

| – /– – | Item Ref. | KF Ref. | A/D/ L/I | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

**Item Worksheet—Item 2.1** **Percent Score ____**

## Item Worksheet—Item 2.2

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

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*(Use the mouse or Ctrl Tab to move to the next column within the comment field; use the Rtn or Enter key to begin a new comment.)*

| +/++ | Item Ref. | KF Ref. | A/D/ L/I | Strengths (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

| – /– – | Item Ref. | KF Ref. | A/D/ L/I | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

## Item Worksheet—Item 3.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

*(Use the mouse or arrow keys to move from section to section and within a section.)*

**Indicate the 4–6 most important key business/organization factors relevant to this Item.**
*(Use the mouse or arrow keys to move to a new key factor. Hitting the Return key will generate an additional number.)*

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3. 6.

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**Include a reference to the most relevant key factor(s).**

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|---|---|---|---|---|
| | | | | |

| – /– – | Item Ref. | KF Ref. | A/D/ L/I | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

**Item Worksheet—Item 3.1** **Percent Score ____**

## Item Worksheet—Item 3.2

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

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|---|---|---|---|---|
| | | | | |

| – /– – | Item Ref. | KF Ref. | A/D/ L/I | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

## Item Worksheet—Item 4.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

*(Use the mouse or arrow keys to move from section to section and within a section.)*

**Indicate the 4–6 most important key business/organization factors relevant to this Item.**
*(Use the mouse or arrow keys to move to a new key factor. Hitting the Return key will generate an additional number.)*

1. 4.
2. 5.
3. 6.

**Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.**

**Include a reference to the most relevant key factor(s).**

**Include an indication of which process evaluation factors are addressed in this comment (refer to page 5 in the full version of the scorebook):**

**A=Approach D=Deployment L=Learning I=Integration**

*(Use the mouse or Ctrl Tab to move to the next column within the comment field; use the Rtn or Enter key to begin a new comment.)*

| +/++ | Item Ref. | KF Ref. | A/D/ L/I | Strengths (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

| – /– – | Item Ref. | KF Ref. | A/D/ L/I | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

**Item Worksheet—Item 4.1** **Percent Score ____**

## Item Worksheet—Item 4.2

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

*(Use the mouse or arrow keys to move from section to section and within a section.)*

**Indicate the 4–6 most important key business/organization factors relevant to this Item.**
*(Use the mouse or arrow keys to move to a new key factor. Hitting the Return key will generate an additional number.)*

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2. 5.
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**Include a reference to the most relevant key factor(s).**

**Include an indication of which process evaluation factors are addressed in this comment (refer to page 5 in the full version of the scorebook):**

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| +/++ | Item Ref. | KF Ref. | A/D/ L/I | Strengths (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

| – /– – | Item Ref. | KF Ref. | A/D/ L/I | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

**Item Worksheet—Item 4.2** **Percent Score ____**

## Item Worksheet—Item 5.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

*(Use the mouse or arrow keys to move from section to section and within a section.)*

**Indicate the 4–6 most important key business/organization factors relevant to this Item.**
*(Use the mouse or arrow keys to move to a new key factor. Hitting the Return key will generate an additional number.)*

1. 4.
2. 5.
3. 6.

**Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.**

**Include a reference to the most relevant key factor(s).**

**Include an indication of which process evaluation factors are addressed in this comment (refer to page 5 in the full version of the scorebook):**

**A=Approach D=Deployment L=Learning I=Integration**

*(Use the mouse or Ctrl Tab to move to the next column within the comment field; use the Rtn or Enter key to begin a new comment.)*

| +/++ | Item Ref. | KF Ref. | A/D/ L/I | Strengths (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

| – /– – | Item Ref. | KF Ref. | A/D/ L/I | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

**Item Worksheet—Item 5.1** **Percent Score ____**

## Item Worksheet—Item 5.2

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

*(Use the mouse or arrow keys to move from section to section and within a section.)*

**Indicate the 4–6 most important key business/organization factors relevant to this Item.**
*(Use the mouse or arrow keys to move to a new key factor. Hitting the Return key will generate an additional number.)*

1. 4.
2. 5.
3. 6.

**Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.**

**Include a reference to the most relevant key factor(s).**

**Include an indication of which process evaluation factors are addressed in this comment (refer to page 5 in the full version of the scorebook):**

**A=Approach D=Deployment L=Learning I=Integration**

*(Use the mouse or Ctrl Tab to move to the next column within the comment field; use the Rtn or Enter key to begin a new comment.)*

| +/++ | Item Ref. | KF Ref. | A/D/ L/I | Strengths (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

| – /– – | Item Ref. | KF Ref. | A/D/ L/I | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

**Item Worksheet—Item 5.2** **Percent Score _____**

## Item Worksheet—Item 5.3

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

*(Use the mouse or arrow keys to move from section to section and within a section.)*

**Indicate the 4–6 most important key business/organization factors relevant to this Item.**
*(Use the mouse or arrow keys to move to a new key factor. Hitting the Return key will generate an additional number.)*

1. 4.
2. 5.
3. 6.

**Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.**

**Include a reference to the most relevant key factor(s).**

**Include an indication of which process evaluation factors are addressed in this comment (refer to page 5 in the full version of the scorebook):**

**A=Approach D=Deployment L=Learning I=Integration**

*(Use the mouse or Ctrl Tab to move to the next column within the comment field; use the Rtn or Enter key to begin a new comment.)*

| +/++ | Item Ref. | KF Ref. | A/D/ L/I | Strengths (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

| – /– – | Item Ref. | KF Ref. | A/D/ L/I | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

**Item Worksheet—Item 5.3** **Percent Score ____**

## Item Worksheet—Item 6.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

*(Use the mouse or arrow keys to move from section to section and within a section.)*

**Indicate the 4–6 most important key business/organization factors relevant to this Item.**
*(Use the mouse or arrow keys to move to a new key factor. Hitting the Return key will generate an additional number.)*

1. 4.
2. 5.
3. 6.

**Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.**

**Include a reference to the most relevant key factor(s).**

**Include an indication of which process evaluation factors are addressed in this comment (refer to page 5 in the full version of the scorebook):**

**A=Approach D=Deployment L=Learning I=Integration**

*(Use the mouse or Ctrl Tab to move to the next column within the comment field; use the Rtn or Enter key to begin a new comment.)*

| +/++ | Item Ref. | KF Ref. | A/D/ L/I | Strengths (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

| – /– – | Item Ref. | KF Ref. | A/D/ L/I | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

**Item Worksheet—Item 6.1** **Percent Score ____**

## Item Worksheet—Item 6.2

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

*(Use the mouse or arrow keys to move from section to section and within a section.)*

**Indicate the 4–6 most important key business/organization factors relevant to this Item.**
*(Use the mouse or arrow keys to move to a new key factor. Hitting the Return key will generate an additional number.)*

1. 4.
2. 5.
3. 6.

**Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.**

**Include a reference to the most relevant key factor(s).**

**Include an indication of which process evaluation factors are addressed in this comment (refer to page 5 in the full version of the scorebook):**

**A=Approach D=Deployment L=Learning I=Integration**

*(Use the mouse or Ctrl Tab to move to the next column within the comment field; use the Rtn or Enter key to begin a new comment.)*

| +/++ | Item Ref. | KF Ref. | A/D/ L/I | Strengths (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

| – /– – | Item Ref. | KF Ref. | A/D/ L/I | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

**Item Worksheet—Item 6.2** **Percent Score ____**

## Item Worksheet—Item 7.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

**Indicate the 4–6 most important key business/organization factors relevant to this Item.**
*(Use the mouse or arrow keys to move to a new key factor. Hitting the Return key will generate an additional number.)*

1. 4.
2. 5.
3. 6.

**Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.**

**Include a reference to the most relevant key factor(s).**

**Include an indication of which results evaluation factors are addressed in this comment (refer to page 6 in the full version of the scorebook):**

**Le = Performance Levels T = Trends C= Comparisons Li = Linkages G = Gaps**

*(Use Ctrl Tab to move to the next column within the comment field; use the Rtn or Enter key to begin a new comment.)*

| +/++ | Item Ref. | KF Ref. | Le/T/ C/Li | Strengths (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

| – /– – | Item Ref. | KF Ref. | Le/T/C /Li/ G | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

**Item Worksheet—Item 7.1** **Percent Score ____**

## Item Worksheet—Item 7.2

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

**Indicate the 4–6 most important key business/organization factors relevant to this Item.**
*(Use the mouse or arrow keys to move to a new key factor. Hitting the Return key will generate an additional number.)*

1. 4.
2. 5.
3. 6.

**Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.**

**Include a reference to the most relevant key factor(s).**

**Include an indication of which results evaluation factors are addressed in this comment (refer to page 6 in the full version of the scorebook):**

**Le = Performance Levels T = Trends C= Comparisons Li = Linkages G = Gaps**

*(Use Ctrl Tab to move to the next column within the comment field; use the Rtn or Enter key to begin a new comment.)*

| +/++ | Item Ref. | KF Ref. | Le/T/ C/Li | Strengths (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

| – /– – | Item Ref. | KF Ref. | Le/T/C /Li/ G | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

**Item Worksheet—Item 7.2** **Percent Score ____**

## Item Worksheet—Item 7.3

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

**Indicate the 4–6 most important key business/organization factors relevant to this Item.**
*(Use the mouse or arrow keys to move to a new key factor. Hitting the Return key will generate an additional number.)*

1. 4.
2. 5.
3. 6.

**Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.**

**Include a reference to the most relevant key factor(s).**

**Include an indication of which results evaluation factors are addressed in this comment (refer to page 6 in the full version of the scorebook):**

**Le = Performance Levels T = Trends C= Comparisons Li = Linkages G = Gaps**

*(Use Ctrl Tab to move to the next column within the comment field; use the Rtn or Enter key to begin a new comment.)*

| +/++ | Item Ref. | KF Ref. | Le/T/ C/Li | Strengths (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

| – /– – | Item Ref. | KF Ref. | Le/T/C /Li/ G | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

**Item Worksheet—Item 7.3** **Percent Score ____**

## Item Worksheet—Item 7.4

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

**Indicate the 4–6 most important key business/organization factors relevant to this Item.**
*(Use the mouse or arrow keys to move to a new key factor. Hitting the Return key will generate an additional number.)*

1. 4.
2. 5.
3. 6.

**Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.**

**Include a reference to the most relevant key factor(s).**

**Include an indication of which results evaluation factors are addressed in this comment (refer to page 6 in the full version of the scorebook):**

**Le = Performance Levels T = Trends C= Comparisons Li = Linkages G = Gaps**

*(Use Ctrl Tab to move to the next column within the comment field; use the Rtn or Enter key to begin a new comment.)*

| +/++ | Item Ref. | KF Ref. | Le/T/ C/Li | Strengths (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

| – /– – | Item Ref. | KF Ref. | Le/T/C /Li/ G | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

**Item Worksheet—Item 7.4** **Percent Score ____**

## Item Worksheet—Item 7.5

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

**Indicate the 4–6 most important key business/organization factors relevant to this Item.**
*(Use the mouse or arrow keys to move to a new key factor. Hitting the Return key will generate an additional number.)*

1. 4.
2. 5.
3. 6.

**Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.**

**Include a reference to the most relevant key factor(s).**

**Include an indication of which results evaluation factors are addressed in this comment (refer to page 6 in the full version of the scorebook):**

**Le = Performance Levels T = Trends C= Comparisons Li = Linkages G = Gaps**

*(Use Ctrl Tab to move to the next column within the comment field; use the Rtn or Enter key to begin a new comment.)*

| +/++ | Item Ref. | KF Ref. | Le/T/ C/Li | Strengths (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

| – /– – | Item Ref. | KF Ref. | Le/T/C /Li/ G | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

**Item Worksheet—Item 7.5** **Percent Score ____**

## Item Worksheet—Item 7.6

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

**Indicate the 4–6 most important key business/organization factors relevant to this Item.**
*(Use the mouse or arrow keys to move to a new key factor. Hitting the Return key will generate an additional number.)*

1. 4.
2. 5.
3. 6.

**Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.**

**Include a reference to the most relevant key factor(s).**

**Include an indication of which results evaluation factors are addressed in this comment (refer to page 6 in the full version of the scorebook):**

**Le = Performance Levels T = Trends C= Comparisons Li = Linkages G = Gaps**

*(Use Ctrl Tab to move to the next column within the comment field; use the Rtn or Enter key to begin a new comment.)*

| +/++ | Item Ref. | KF Ref. | Le/T/ C/Li | Strengths (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

| – /– – | Item Ref. | KF Ref. | Le/T/C /Li/ G | Opportunities for Improvement (Include figure references, as appropriate.) |
|---|---|---|---|---|
| | | | | |

**Site Visit Issues (For Stage 3, Site Visit Use)**

**Scoring Range Resulting from Site Visit Findings (From the Scoring Guidelines) _____**

**Change from Consensus: ____ higher range ____ same range ____ lower range**

**Item Worksheet—Item 7.6** **Percent Score ____**

## SCORING GUIDELINES—BUSINESS CRITERIA

| SCORE | PROCESS (For Use With Categories 1 – 6) | RESULTS (For Use With Category 7) |
|---|---|---|
| **0% or 5%** | ▪ No systematic approach is evident; information is anecdotal. (A)<br>▪ Little or no deployment of an approach is evident. (D)<br>▪ No evidence of an improvement orientation; improvement is achieved through reacting to problems. (L)<br>▪ No organizational alignment is evident; individual areas or work units operate independently. (I) | ▪ There are no business results or poor results in areas reported.<br>▪ Trend data are either not reported or show mainly adverse trends.<br>▪ Comparative information is not reported.<br>▪ Results are not reported for any areas of importance to your organization's key business requirements. |
| **10%, 15%, 20%, or 25%** | ▪ The beginning of a systematic approach to the basic requirements of the Item is evident. (A)<br>▪ The approach is in the early stages of deployment in most areas or work units, inhibiting progress in achieving the basic requirements of the Item. (D)<br>▪ Early stages of a transition from reacting to problems to a general improvement orientation are evident. (L)<br>▪ The approach is aligned with other areas or work units largely through joint problem solving. (I) | ▪ A few business results are reported; there are some improvements and/or early good performance levels in a few areas.<br>▪ Little or no trend data are reported.<br>▪ Little or no comparative information is reported.<br>▪ Results are reported for a few areas of importance to your organization's key business requirements. |
| **30%, 35%, 40%, or 45%** | ▪ An effective, systematic approach, responsive to the basic requirements of the Item, is evident. (A)<br>▪ The approach is deployed, although some areas or work units are in early stages of deployment. (D)<br>▪ The beginning of a systematic approach to evaluation and improvement of key processes is evident. (L)<br>▪ The approach is in early stages of alignment with your basic organizational needs identified in response to the other Criteria Categories. (I) | ▪ Improvements and/or good performance levels are reported in many areas addressed in the Item requirements.<br>▪ Early stages of developing trends are evident.<br>▪ Early stages of obtaining comparative information are evident.<br>▪ Results are reported for many areas of importance to your organization's key business requirements. |
| **50%, 55%, 60%, or 65%** | ▪ An effective, systematic approach, responsive to the overall requirements of the Item, is evident. (A)<br>▪ The approach is well deployed, although deployment may vary in some areas or work units. (D)<br>▪ A fact-based, systematic evaluation and improvement process and some organizational learning are in place for improving the efficiency and effectiveness of key processes. (L)<br>▪ The approach is aligned with your organizational needs identified in response to the other Criteria Categories. (I) | ▪ Improvement trends and/or good performance levels are reported for most areas addressed in the Item requirements.<br>▪ No pattern of adverse trends and no poor performance levels are evident in areas of importance to your organization's key business requirements.<br>▪ Some trends and/or current performance levels—evaluated against relevant comparisons and/or benchmarks—show areas of good to very good relative performance.<br>▪ Business results address most key customer, market, and process requirements. |
| **70%, 75%, 80%, or 85%** | ▪ An effective, systematic approach, responsive to the multiple requirements of the Item, is evident. (A)<br>▪ The approach is well deployed, with no significant gaps. (D)<br>▪ Fact-based, systematic evaluation and improvement and organizational learning are key management tools; there is clear evidence of refinement and innovation as a result of organizational-level analysis and sharing. (L)<br>▪ The approach is integrated with your organizational needs identified in response to the other Criteria Items. (I) | ▪ Current performance is good to excellent in most areas of importance to the Item requirements.<br>▪ Most improvement trends and/or current performance levels are sustained.<br>▪ Many to most reported trends and/or current performance levels—evaluated against relevant comparisons and/or benchmarks—show areas of leadership and very good relative performance.<br>▪ Business results address most key customer, market, process, and action plan requirements. |
| **90%, 95%, or 100%** | ▪ An effective, systematic approach, fully responsive to the multiple requirements of the Item, is evident. (A)<br>▪ The approach is fully deployed without significant weaknesses or gaps in any areas or work units. (D)<br>▪ Fact-based, systematic evaluation and improvement and organizational learning are key organization-wide tools; refinement and innovation, backed by analysis and sharing, are evident throughout the organization. (L)<br>▪ The approach is well integrated with your organizational needs identified in response to the other Criteria Items. (I) | ▪ Current performance is excellent in most areas of importance to the Item requirements.<br>▪ Excellent improvement trends and/or sustained excellent performance levels are reported in most areas.<br>▪ Evidence of industry and benchmark leadership is demonstrated in many areas.<br>▪ Business results fully address key customer, market, process, and action plan requirements. |

# SCORE SUMMARY WORKSHEET—BUSINESS CRITERIA

*To enter data in this form, double click the worksheet. Enter the Item percent scores in column B. Do not enter data in any other column. The worksheet should automatically calculate the appropriate scores based on the information you enter.*

SCORE SUMMARY WORKSHEET -- BUSINESS CRITERIA

| Summary of Criteria Items | Total Points Possible Column A | Percent Score 0-100% (Stage 1 - Use 10% Units) Column B | Score (AxB) Column C |
|---|---|---|---|
| **Category 1** | | | |
| 1.1 | 70 | | 0 |
| 1.2 | 50 | | 0 |
| Category Total | **120** | | 0 |
| | | | SUM C |
| **Category 2** | | | |
| 2.1 | 40 | | 0 |
| 2.2 | 45 | | 0 |
| Category Total | **85** | | 0 |
| | | | SUM C |
| **Category 3** | | | |
| 3.1 | 40 | | 0 |
| 3.2 | 45 | | 0 |
| Category Total | **85** | | 0 |
| | | | SUM C |
| **Category 4** | | | |
| 4.1 | 45 | | 0 |
| 4.2 | 45 | | 0 |
| Category Total | **90** | | 0 |
| | | | SUM C |
| **Category 5** | | | |
| 5.1 | 35 | | 0 |
| 5.2 | 25 | | 0 |
| 5.3 | 25 | | 0 |
| Category Total | **85** | | 0 |
| | | | SUM C |
| **Category 6** | | | |
| 6.1 | 50 | | 0 |
| 6.2 | 35 | | 0 |
| Category Total | **85** | | 0 |
| | | | SUM C |
| **Category 7** | | | |
| 7.1 | 75 | | 0 |
| 7.2 | 75 | | 0 |
| 7.3 | 75 | | 0 |
| 7.4 | 75 | | |
| 7.5 | 75 | | |
| 7.6 | 75 | | 0 |
| Category Total | **450** | | 0 |
| | | | SUM C |
| GRAND TOTAL (D) | **1000** | | 0 |
| | | | D |

## SCORING GUIDELINES—EDUCATION CRITERIA

| SCORE | PROCESS (For Use With Categories 1–6) | RESULTS (For Use With Category 7) |
|---|---|---|
| **0% or 5%** | ▪ No systematic approach is evident; information is anecdotal. (A)<br>▪ Little or no deployment of an approach is evident. (D)<br>▪ No evidence of an improvement orientation; improvement is achieved through reacting to problems. (L)<br>▪ No organizational alignment is evident; individual areas or work units operate independently. (I) | ▪ There are no organizational performance results or poor results in areas reported.<br>▪ Trend data are either not reported or show mainly adverse trends.<br>▪ Comparative information is not reported.<br>▪ Results are not reported for any areas of importance to your key organizational requirements. |
| **10%, 15%, 20%, or 25%** | ▪ The beginning of a systematic approach to the basic requirements of the Item is evident. (A)<br>▪ The approach is in the early stages of deployment in most areas or work units, inhibiting progress in achieving the basic requirements of the Item. (D)<br>▪ Early stages of a transition from reacting to problems to a general improvement orientation are evident. (L)<br>▪ The approach is aligned with other areas or work units largely through joint problem solving. (I) | ▪ A few organizational performance results are reported; there are some improvements and/or early good performance levels in a few areas.<br>▪ Little or no trend data are reported.<br>▪ Little or no comparative information is reported.<br>▪ Results are reported for a few areas of importance to your key organizational requirements. |
| **30%, 35%, 40%, or 45%** | ▪ An effective, systematic approach, responsive to the basic requirements of the Item, is evident. (A)<br>▪ The approach is deployed, although some areas or work units are in early stages of deployment. (D)<br>▪ The beginning of a systematic approach to evaluation and improvement of key processes is evident. (L)<br>▪ The approach is in early stages of alignment with your basic organizational needs identified in response to the other Criteria Categories. (I) | ▪ Improvements and/or good performance levels are reported in many areas addressed in the Item requirements.<br>▪ Early stages of developing trends are evident.<br>▪ Early stages of obtaining comparative information are evident.<br>▪ Results are reported for many areas of importance to your key organizational requirements. |
| **50%, 55%, 60%, or 65%** | ▪ An effective, systematic approach, responsive to the overall requirements of the Item, is evident. (A)<br>▪ The approach is well deployed, although deployment may vary in some areas or work units. (D)<br>▪ A fact-based, systematic evaluation and improvement process and some organizational learning are in place for improving the efficiency and effectiveness of key processes. (L)<br>▪ The approach is aligned with your organizational needs identified in response to the other Criteria Categories. (I) | ▪ Improvement trends and/or good performance levels are reported for most areas addressed in the Item requirements.<br>▪ No pattern of adverse trends and no poor performance levels are evident in areas of importance to your key organizational requirements.<br>▪ Some trends and/or current performance levels—evaluated against relevant comparisons and/or benchmarks—show areas of good to very good relative performance.<br>▪ Organizational performance results address most key student, stakeholder, market, and process requirements. |
| **70%, 75%, 80%, or 85%** | ▪ An effective, systematic approach, responsive to the multiple requirements of the Item, is evident. (A)<br>▪ The approach is well deployed, with no significant gaps. (D)<br>▪ Fact-based, systematic evaluation and improvement and organizational learning are key management tools; there is clear evidence of refinement and innovation as a result of organizational-level analysis and sharing. (L)<br>▪ The approach is integrated with your organizational needs identified in response to the other Criteria Items. (I) | ▪ Current performance is good to excellent in most areas of importance to the Item requirements.<br>▪ Most improvement trends and/or current performance levels are sustained.<br>▪ Many to most reported trends and/or current performance levels—evaluated against relevant comparisons and/or benchmarks—show areas of leadership and very good relative performance.<br>▪ Organizational performance results address most key student, stakeholder, market, process, and action plan requirements. |
| **90%, 95%, or 100%** | ▪ An effective, systematic approach, fully responsive to the multiple requirements of the Item, is evident. (A)<br>▪ The approach is fully deployed without significant weaknesses or gaps in any areas or work units. (D)<br>▪ Fact-based, systematic evaluation and improvement and organizational learning are key organization-wide tools; refinement and innovation, backed by analysis and sharing, are evident throughout the organization. (L)<br>▪ The approach is well integrated with your organizational needs identified in response to the other Criteria Items. (I) | ▪ Current performance is excellent in most areas of importance to the Item requirements.<br>▪ Excellent improvement trends and/or sustained excellent performance levels are reported in most areas.<br>▪ Evidence of education sector and benchmark leadership is demonstrated in many areas.<br>▪ Organizational performance results fully address key student, stakeholder, market, process, and action plan requirements. |

# SCORE SUMMARY WORKSHEET—EDUCATION CRITERIA

*To enter data in this form, double click the worksheet. Enter the Item percent scores in column B. Do not enter data in any other column. The worksheet should automatically calculate the appropriate scores based on the information you enter.*

SCORE SUMMARY WORKSHEET -- EDUCATION CRITERIA

| **Summary of Criteria Items** | Total Points Possible **Column A** | Percent Score 0-100% (Stage 1 - Use 10% Units) **Column B** | Score (AxB) **Column C** |
|---|---|---|---|
| **Category 1** | | | |
| 1.1 | 70 | | 0 |
| 1.2 | 50 | | 0 |
| Category Total | **120** | | 0 |
| | | | SUM C |
| **Category 2** | | | |
| 2.1 | 40 | | 0 |
| 2.2 | 45 | | 0 |
| Category Total | **85** | | 0 |
| | | | SUM C |
| **Category 3** | | | |
| 3.1 | 40 | | 0 |
| 3.2 | 45 | | 0 |
| Category Total | **85** | | 0 |
| | | | SUM C |
| **Category 4** | | | |
| 4.1 | 45 | | 0 |
| 4.2 | 45 | | 0 |
| Category Total | **90** | | 0 |
| | | | SUM C |
| **Category 5** | | | |
| 5.1 | 35 | | 0 |
| 5.2 | 25 | | 0 |
| 5.3 | 25 | | 0 |
| Category Total | **85** | | 0 |
| | | | SUM C |
| **Category 6** | | | |
| 6.1 | 50 | | 0 |
| 6.2 | 35 | | 0 |
| Category Total | **85** | | 0 |
| | | | SUM C |
| **Category 7** | | | |
| 7.1 | 150 | | 0 |
| 7.2 | 60 | | 0 |
| 7.3 | 60 | | 0 |
| 7.4 | 60 | | 0 |
| 7.5 | 60 | | 0 |
| 7.6 | 60 | | 0 |
| Category Total | **450** | | 0 |
| | | | SUM C |
| GRAND TOTAL (D) | **1000** | | 0 |

## SCORING GUIDELINES—HEALTH CARE CRITERIA

| SCORE | PROCESS (For Use With Categories 1–6) | RESULTS (For Use With Category 7) |
|---|---|---|
| **0% or 5%** | ▪ No systematic approach is evident; information is anecdotal. (A)<br>▪ Little or no deployment of an approach is evident. (D)<br>▪ No evidence of an improvement orientation; improvement is achieved through reacting to problems. (L)<br>▪ No organizational alignment is evident; individual areas or work units operate independently. (I) | ▪ There are no organizational performance results or poor results in areas reported.<br>▪ Trend data are either not reported or show mainly adverse trends.<br>▪ Comparative information is not reported.<br>▪ Results are not reported for any areas of importance to your key organizational requirements. |
| **10%, 15%, 20%, or 25%** | ▪ The beginning of a systematic approach to the basic requirements of the Item is evident. (A)<br>▪ The approach is in the early stages of deployment in most areas or work units, inhibiting progress in achieving the basic requirements of the Item. (D)<br>▪ Early stages of a transition from reacting to problems to a general improvement orientation are evident. (L)<br>▪ The approach is aligned with other areas or work units largely through joint problem solving. (I) | ▪ A few organizational performance results are reported; there are some improvements and/or early good performance levels in a few areas.<br>▪ Little or no trend data are reported.<br>▪ Little or no comparative information is reported.<br>▪ Results are reported for a few areas of importance to your key organizational requirements. |
| **30%, 35%, 40%, or 45%** | ▪ An effective, systematic approach, responsive to the basic requirements of the Item, is evident. (A)<br>▪ The approach is deployed, although some areas or work units are in early stages of deployment. (D)<br>▪ The beginning of a systematic approach to evaluation and improvement of key processes is evident. (L)<br>▪ The approach is in early stages of alignment with your basic organizational needs identified in response to the other Criteria Categories. (I) | ▪ Improvements and/or good performance levels are reported in many areas addressed in the Item requirements.<br>▪ Early stages of developing trends are evident.<br>▪ Early stages of obtaining comparative information are evident.<br>▪ Results are reported for many areas of importance to your key organizational requirements. |
| **50%, 55%, 60%, or 65%** | ▪ An effective, systematic approach, responsive to the overall requirements of the Item, is evident. (A)<br>▪ The approach is well deployed, although deployment may vary in some areas or work units. (D)<br>▪ A fact-based, systematic evaluation and improvement process and some organizational learning are in place for improving the efficiency and effectiveness of key processes. (L)<br>▪ The approach is aligned with your organizational needs identified in response to the other Criteria Categories. (I) | ▪ Improvement trends and/or good performance levels are reported for most areas addressed in the Item requirements.<br>▪ No pattern of adverse trends and no poor performance levels are evident in areas of importance to your key organizational requirements.<br>▪ Some trends and/or current performance levels—evaluated against relevant comparisons and/or benchmarks—show areas of good to very good relative performance.<br>▪ Organizational performance results address most key patient and other customer, market, and process requirements. |
| **70%, 75%, 80%, or 85%** | ▪ An effective, systematic approach, responsive to the multiple requirements of the Item, is evident. (A)<br>▪ The approach is well deployed, with no significant gaps. (D)<br>▪ Fact-based, systematic evaluation and improvement and organizational learning are key management tools; there is clear evidence of refinement and innovation as a result of organizational-level analysis and sharing. (L)<br>▪ The approach is integrated with your organizational needs identified in response to the other Criteria Items. (I) | ▪ Current performance is good to excellent in most areas of importance to the Item requirements.<br>▪ Most improvement trends and/or current performance levels are sustained.<br>▪ Many to most reported trends and/or current performance levels—evaluated against relevant comparisons and/or benchmarks—show areas of leadership and very good relative performance.<br>▪ Organizational performance results address most key patient and other customer, market, process, and action plan requirements. |
| **90%, 95%, or 100%** | ▪ An effective, systematic approach, fully responsive to the multiple requirements of the Item, is evident. (A)<br>▪ The approach is fully deployed without significant weaknesses or gaps in any areas or work units. (D)<br>▪ Fact-based, systematic evaluation and improvement and organizational learning are key organization-wide tools; refinement and innovation, backed by analysis and sharing, are evident throughout the organization. (L)<br>▪ The approach is well integrated with your organizational needs identified in response to the other Criteria Items. (I) | ▪ Current performance is excellent in most areas of importance to the Item requirements.<br>▪ Excellent improvement trends and/or sustained excellent performance levels are reported in most areas.<br>▪ Evidence of health care sector and benchmark leadership is demonstrated in many areas.<br>▪ Organizational performance results fully address key patient and other customer, market, process, and action plan requirements. |

# SCORE SUMMARY WORKSHEET—HEALTH CARE CRITERIA

*To enter data in this form, double click the worksheet. Enter the Item percent scores in column B. Do not enter data in any other column. The worksheet should automatically calculate the appropriate scores based on the information you enter.*

SCORE SUMMARY WORKSHEET -- HEALTH CARE CRITERIA

| **Summary of Criteria Items** | Total Points Possible **Column A** | Percent Score 0-100% (Stage 1 - Use 10% Units) **Column B** | Score (AxB) **Column C** |
|---|---|---|---|
| **Category 1** | | | |
| 1.1 | 70 | | 0 |
| 1.2 | 50 | | 0 |
| Category Total | **120** | | 0 |
| | | | SUM C |
| **Category 2** | | | |
| 2.1 | 40 | | 0 |
| 2.2 | 45 | | 0 |
| Category Total | **85** | | 0 |
| | | | SUM C |
| **Category 3** | | | |
| 3.1 | 40 | | 0 |
| 3.2 | 45 | | 0 |
| Category Total | **85** | | 0 |
| | | | SUM C |
| **Category 4** | | | |
| 4.1 | 45 | | 0 |
| 4.2 | 45 | | 0 |
| Category Total | **90** | | 0 |
| | | | SUM C |
| **Category 5** | | | |
| 5.1 | 35 | | 0 |
| 5.2 | 25 | | 0 |
| 5.3 | 25 | | 0 |
| Category Total | **85** | | 0 |
| | | | SUM C |
| **Category 6** | | | |
| 6.1 | 50 | | 0 |
| 6.2 | 35 | | 0 |
| Category Total | **85** | | 0 |
| | | | SUM C |
| **Category 7** | | | |
| 7.1 | 75 | | 0 |
| 7.2 | 75 | | 0 |
| 7.3 | 75 | | 0 |
| 7.4 | 75 | | 0 |
| 7.5 | 75 | | 0 |
| 7.6 | 75 | | 0 |
| Category Total | **450** | | 0 |
| | | | SUM C |
| GRAND TOTAL (D) | **1000** | | 0 |

# SCORING BAND DESCRIPTORS

| *Band Score* | *Band Number* | *Descriptors* |
|---|---|---|
| 0–275 | 1 | The organization demonstrates the early stages of developing and implementing approaches to Category requirements, with deployment lagging and inhibiting progress. Improvement efforts focus on problem solving. A few important results are reported, but they generally lack trend and comparative data. |
| 276–375 | 2 | The organization demonstrates effective, systematic approaches responsive to the basic requirements of the Items, but some areas or work units are in the early stages of deployment. The organization has developed a general improvement orientation that is forward-looking. The organization obtains results stemming from its approaches, with some improvements and good performance. The use of comparative and trend data is in the early stages. |
| 376–475 | 3 | The organization demonstrates effective, systematic approaches responsive to the basic requirements of most Items, although there are still areas or work units in the early stages of deployment. Key processes are beginning to be systematically evaluated and improved. Results address many areas of importance to the organization's key requirements, with improvements and/or good performance being achieved. Comparative and trend data are available for some of these important results areas. |
| 476–575 | 4 | The organization demonstrates effective, systematic approaches responsive to the overall requirements of the Items, but deployment may vary in some areas or work units. Key processes benefit from fact-based evaluation and improvement, and approaches are being aligned with organizational needs. Results address key customer/stakeholder, market, and process requirements, and they demonstrate some areas of strength and/or good performance against relevant comparisons. There are no patterns of adverse trends or poor performance in areas of importance to the organization's key requirements. |
| 576–675 | 5 | The organization demonstrates effective, systematic, well-deployed approaches responsive to the overall requirements of the Items. The organization demonstrates a fact-based, systematic evaluation and improvement process and organizational learning that result in improving the effectiveness and efficiency of key processes. Results address most key customer/stakeholder, market, and process requirements, and they demonstrate areas of strength against relevant comparisons and/or benchmarks. Improvement trends and/or good performance are reported for most areas of importance to the organization's key requirements. |
| 676–775 | 6 | The organization demonstrates refined approaches responsive to the multiple requirements of the Items. These approaches are characterized by the use of key measures, good deployment, evidence of innovation, and very good results in most areas. Organizational integration, learning, and sharing are key management tools. Results address many customer/stakeholder, market, process, and action plan requirements. The organization is an industry* leader in some areas. |
| 776–875 | 7 | The organization demonstrates refined approaches responsive to the multiple requirements of the Items. It also demonstrates innovation, excellent deployment, and good-to-excellent performance levels in most areas. Good-to-excellent integration is evident, with organizational analysis, learning, and sharing of best practices as key management strategies. Industry* leadership and some benchmark leadership are demonstrated in results that address most key customer/stakeholder, market, process, and action plan requirements. |
| 876–1000 | 8 | The organization demonstrates outstanding approaches focused on innovation, full deployment, and excellent, sustained performance results. There is excellent integration of approaches with organizational needs. Organizational analysis, learning, and sharing of best practices are pervasive. National and world leadership is demonstrated in results that fully address key customer/ stakeholder, market, process, and action plan requirements. |

*Industry refers to other organizations performing substantially the same functions, thereby facilitating direct comparisons.

## CHECKLIST

**Before you return this scorebook to ASQ:**

☐ If this is a Stage 1 review, have you scored each Item in increments of 5% (e.g., 15%, 20%, 35%)?

Have you included the following in the package you are returning?

- ☐ the cover sheet of the scorebook (with the appropriate Criteria and process stage checked)?
- ☐ the signed Conflict of Interest Statement?
- ☐ the Key Factors Worksheet?
- ☐ the Key Themes Worksheet?
- ☐ Item Worksheets for all Items?
- ☐ the appropriate Score Summary Worksheet (Business, Education, or Health Care)?
- ☐ the completed checklist?
- ☐ the completed scorebook on diskette?

Return the scorebook (paper and diskette) to

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American Society for Quality
600 North Plankinton Avenue
Milwaukee, WI 53203
(800) 248-1946, ext. 7205

# SECTION IV

## Stage 3, Site Visit Review

**The worksheets in this section**

**are used only for Stage 3,**

**Site Visit Review.**

# INTRODUCTION AND GENERAL INSTRUCTIONS—STAGE 3, SITE VISIT REVIEW

## Introduction

The scorebook at Stage 3, Site Visit Review contains the following forms and worksheets:

- cover sheet
- Summary of Sites Visited
- Key Factors Worksheet
- Key Themes Worksheet
- Item Worksheets
- Site Visit Issue Worksheets
- Score Summary Worksheet—Site Visit
- signature page

The Summary of Sites Visited, Site Visit Issue Worksheet, Score Summary Worksheet—Site Visit, and signature page are all specific to Stage 3, Site Visit Review. The Site Visit Team may download copies of the scorebook from the Baldrige Web site at www.baldrige.nist.gov/04scorebook.htm. The worksheets are described below.

## Key Factors Worksheet at Stage 3, Site Visit

The Key Factors Worksheet records the key business/organization factors (KFs) that were considered in the evaluation of the applicant. KFs help define what is important and relevant to the applicant. These are listed in the consensus scorebook and modified as necessary to reflect new information obtained during the site visit. Knowledge and use of the KFs are essential to the proper conduct of a site visit evaluation. In anticipation of the team leader's discussion with the Panel of Judges, the team not only provides the KFs but also completes the question at the bottom of the form, "Thinking about the questions in the Organizational Profile, did the team have any new insights about the applicant as a result of the site visit?"

## Key Themes Worksheet at Stage 3, Site Visit

The Key Themes Worksheet provides key points and an overall summary of the Site Visit Team's evaluation of the applicant. It is an update of the Key Themes Worksheet from Stage 2, Consensus Review. Please limit the summary to 2–3 pages.

This information is based on the overall context provided by the evaluation framework (the Criteria Categories) and the Core Values and Concepts (found in the appropriate *Criteria for Performance Excellence* booklet) that pervade the evaluation framework. The Key Themes Worksheet should not just repeat the findings given in the Item Worksheets. Rather, it should put them in perspective, taking into account Category linkages, KFs, and Core Values.

The Key Themes Worksheet should respond to the following questions.

a. What are the most important strengths or outstanding practices (of potential value to other organizations) that the team identified?
b. What are the most significant opportunities, concerns, or vulnerabilities that the team identified?
c. Considering the applicant's KFs, what are the most significant strengths, opportunities, vulnerabilities, and/or gaps (related to data, comparisons, linkages) found in its response to Results Items?

Key Themes comments for questions a and b should address the evaluation factors of approach, deployment, learning, and integration. The comments for question c should address favorable and unfavorable levels and trends, comparisons, segmentation, linkage to the applicant's organizational requirements, and gaps.

**Item Worksheet at Stage 3, Site Visit**

This worksheet is the team's record of its final evaluation of the applicant for each of the Criteria Items.

During the planning phase of a site visit, Examiners are asked to record site visit issues in the space provided on the Item Worksheet. These are major/important issues that will need to be verified or clarified during Stage 3, Site Visit Review. Issues for on-site **verification** include the applicant's approach, the extent of deployment of the approach, and the results presented. For example, if a strength comment discusses the existence of a systematic process, the team would verify that the process exists and operates as presented in the written application. During the site visit, the Site Visit Team would verify that appropriate credit was given during the consensus review of the written application. This is particularly true in instances where the Consensus Team gave the applicant the benefit of the doubt.

Issues for **clarification** include those that were unclear or not addressed in the application but have been determined to be central to the Item requirements and relevant and important to the applicant's organization. This information gap may have prevented the Consensus Team from fully or fairly evaluating the applicant. For example, if the Item requires the applicant to present comparison data but the data are not provided, a site visit issue would be to clarify if the applicant has comparison data and, if so, how they are used and what the data show about the applicant's reported results relative to other organizations. *(Examples of site visit issues may be found in the Site Visit Manual.)*

As issues are addressed and findings are recorded, the team assesses and integrates these findings to develop a revised set of strengths and opportunities for improvement (OFIs) for each Item.

Strengths and OFIs will come from three main sources: (1) the consensus scorebook, (2) conclusions resulting from the resolution of the site visit issues, and (3) new information arising from the site visit. In particular, OFIs often become more clearly defined as missing information becomes available during the site visit. Effective recording of strengths and OFIs is important for the Judges' deliberations and for the feedback report.

The Site Visit Team will be asked to indicate what scoring range the team believes most appropriately describes the applicant's achievement level for each Item, the impact of its findings on the consensus score for each Item, and which scoring band most accurately describes the applicant's overall performance. The impact is captured by selecting one of the following options: higher range, same range, or lower range. As each Item Worksheet is completed, the team records the original consensus score for the Item at the bottom of the form (from the consensus scoresheet), captures the teams determination of what scoring range they feel most appropriately represents the applicant's performance level, and checks the appropriate space to indicate what change, if any, the site visit findings have on the consensus scoring. Teams make these determinations based on the wording in the Scoring Guidelines. *(Samples of Stage 3 Item Worksheets may be found in the Site Visit Manual.)*

**Site Visit Issue Worksheet**

The Site Visit Issue Worksheet is used initially to describe an issue that needs verification and/or clarification during the site visit and outlines the strategy to be used to obtain the information needed for verification/ clarification. Site visit issues are identified and refined by the team during the site visit planning process. Team members target those issues that will best contribute to their understanding of the performance of the applicant relative to the Criteria requirements. (See Attachment 3—SVI Worksheet Resource Sheet.)

Each team member indicates the Item addressed by the site visit issue under "Item Reference." Only one site visit issue is recorded per worksheet. During the site visit, any new issue identified is recorded on a separate worksheet and recorded as not having been evaluated during consensus.

Prior to the site visit, the team may make copies of the partially completed worksheets so that team members can make notes on the appropriate worksheets during on-site meetings with the applicant. Each evening while on the site visit, Examiners review their notes and electronically record their findings on the original copy of the worksheet. The original worksheet will be submitted as part of the site visit scorebook to assist the Judges in their decision making.

In team meetings, using their Site Visit Issue Worksheets, team members discuss their preliminary findings and conclusions. Findings might include observations, specific answers, and/or updated results that clearly relate to the resolution of the site visit issue and may lead to revisions of the Item Worksheet comments. Conclusions indicate how the findings affect Item comments; they do not include value judgments. Until the

site visit is complete, preliminary conclusions are subject to change as new information becomes available. The team discussions and preliminary conclusions will help guide the team's work during the site visit.

As each issue is investigated and findings are completed, the team decides what change, if any, the site visit findings would have on the associated Item's score (i.e., raise, no effect, lower) and places a check at the bottom of the form to indicate its decision. *(Samples of Site Visit Issue Worksheets may be found in the Site Visit Manual.)*

### Summary of Sites Visited

The Summary of Sites Visited contains information about the extent and thoroughness of the site visit. The team will list the major locations of the applicant that they visited and describe any important aspects of the sites that are not apparent from the Site Listing and Descriptors section in the Additional Information Needed Form. Examples of such aspects might include the oldest facility, the site with a major reduction in force, the location where the newest product will be manufactured, or the telephone or data service center that runs three shifts. In addition, Examiners describe approaches they used to evaluate sites that they did not visit, including sites outside the United States.

This worksheet also contains any other information on the team's strategy for a thorough site visit. Examples might include such information as the following:

- "Interviewed employees on all three shifts."
- "Interviewed categories/types of employees."
- "Visited at least one location in each of the operating regions."
- "Did a sampling at all levels and in all locations of the organization's critical data systems."

*(A sample of the Summary of Sites Visited Worksheet may be found in the Site Visit Manual.)*

### Requirements for a Good Scorebook

When completed, the site visit scorebook will contain a well-documented, nonbiased trail of evidence that demonstrates how the Key Themes Worksheet conclusions are related to information obtained from the written application and the site visit. The trail of evidence will

- start with the consensus scorebook and site visit issues;
- show the strategy of the site visit, as illustrated by the sites visited, the site visit issues chosen, and the new findings;
- describe in the Site Visit Issue Worksheets how the site visit findings modify the conclusions drawn in the original consensus scorebook;
- show how the Item Worksheets are revised based on the site visit findings;
- show how the team's conclusions in the Key Themes Worksheet can be traced from the Item Worksheets; and
- show how the linkages identified in the Key Themes Worksheet are reflected in the Item Worksheets.

### Score Summary Worksheet—Site Visit

A member of the team transfers the percent scoring range from consensus using the consensus scoresheet and the percent scoring range based on the site visit findings for each Item. The team also indicates the changes due to the site visit findings (e.g., higher range, lower range, same range). Finally, using the Scoring Band Descriptors, the team determines which descriptor best reflects the team's view of the applicant and indicates the band number at the bottom of the Score Summary Worksheet— Site Visit.

### Signature Page

The final requirement of the Site Visit Team members is the completion of the signature page of the scorebook. The statement reads, "I support the findings of the Site Visit Team contained in this scorebook." In the spaces provided, each Site Visit Team member should print his/her name and then sign the form.

**Site Visit Scorebook Composition**

After finishing the site visit scorebook, the Site Visit Team assembles the completed scorebook in the following order:

1. cover sheet
2. Summary of Sites Visited
3. Key Factors Worksheet
4. Key Themes Worksheet
5. Item Worksheet for each Item
6. Site Visit Issue Worksheets
7. Score Summary Worksheet—Site Visit
8. signature page

**Site Visit Scorebook Submission**

At the conclusion of the site visit, an original paper version of the site visit scorebook is made for the NIST monitor. Four electronic (disk/CD) copies of the site visit scorebook are made—one each for NIST, ASQ, the team leader, and the backup team leader. The NIST monitor retains the paper version and the disk for NIST and forwards one of the disks to ASQ at

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**Site Visit Issue Worksheet** (Record only one issue per page.)

Item Reference: _____ *Not originally evaluated at consensus* _____

Issue:

---

**Comment(s) affected:** (SVI's address one or more comments to enable the team to verify or clarify all comments that will be in the final scorebook. List the comments found in the consensus scorebook that are addressed by the findings and conclusions concerning this issue. *e.g., 1.1 first +, 1.1 first OFI, KTa.2, and 5.3 second +*)

---

**Strategy:** (What information do you need, and how do you intend to obtain it, i.e., persons to interview, questions to ask, specific documents to review and for what purpose, and observations to make? Be sure your strategy will address the overall issue as well as the comments listed above.)

---

**Findings:** (What observations, specific answers, and/or updated results did you find during the site visit? Be specific and include data as appropriate.)

---

**Conclusions:** (What is the resolution of this site visit issue based on your findings? For each comment listed above, indicate "delete", "modify", or "no change" and the specific findings that lead you to that conclusion. Then provide the final comment as it will appear in the final scorebook. If a new comment is required it should be included in this section as well.)

---

The site visit findings indicate that the processes and/or results investigated would have the following effect on scoring:

raise___ , no effect on ___ , or lower___ the consensus evaluation.

---

**Site Visit Issue Worksheet**

## Summary of Sites Visited

This worksheet conveys the extent and thoroughness of the site visit.

**Length of the site visit** (number of days with the applicant)

**Sites visited** (List the major applicant sites visited, and describe any important aspects of the sites that are not apparent from the Site Listing and Descriptors section in the Additional Information Needed Form.)

**Approaches used** to evaluate sites not visited, including sites outside the United States (if appropriate)

**Other information** on the team's strategy for a thorough site visit (e.g., categories and types of employees interviewed and shifts)

## Summary of Sites Visited

## SCORE SUMMARY WORKSHEET—SITE VISIT

**To complete this worksheet transfer the percent scores for each Item and the overall score from Consensus; determine the appropriate Scoring Range for the consensus percent score for each Item; enter the scoring ranges from Site Visit for each Item; and indicate with an "X" whether the effect was a score in a "higher range," "same range," or "lower range." Finally, using the Scoring Band Descriptors, determine which descriptor best reflects the team's view of the applicant, and indicate the band number in the space provided.**

| | Consensus Percent Score | Consensus Scoring Range | Site Visit Scoring Range | Changes Due to Site Visit Findings | | |
|---|---|---|---|---|---|---|
| | | | | Higher Range | Same Range | Lower Range |
| Item 1.1 | | | | | | |
| Item 1.2 | | | | | | |
| | | | | | | |
| Item 2.1 | | | | | | |
| Item 2.2 | | | | | | |
| | | | | | | |
| Item 3.1 | | | | | | |
| Item 3.2 | | | | | | |
| | | | | | | |
| Item 4.1 | | | | | | |
| Item 4.2 | | | | | | |
| | | | | | | |
| Item 5.1 | | | | | | |
| Item 5.2 | | | | | | |
| Item 5.3 | | | | | | |
| | | | | | | |
| Item 6.1 | | | | | | |
| Item 6.2 | | | | | | |
| | | | | | | |
| Item 7.1 | | | | | | |
| Item 7.2 | | | | | | |
| Item 7.3 | | | | | | |
| Item 7.4 | | | | | | |
| Item 7.5 | | | | | | |
| Item 7.6 | | | | | | |
| | | | | | | |
| Grand Total Consensus Score | | ***Based on the site visit findings the most accurate Scoring Band Descriptor for this applicant is the descriptor for band number_____.*** | | | | |

**Score Summary Worksheet—Site Visit**

## SIGNATURE PAGE

*I support the findings of the Site Visit Team contained in this scorebook.*

| Name (Please print.) | Signature |
| --- | --- |
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# ATTACHMENT 1—PROCESS ITEM EVALUATION TOOL

To ensure a more holistic evaluation of the Item, answer the following questions before finalizing your 6-10 summary notations. You should be able to strengthen and clarify comments using insights gained from answering the questions. Provide evidence from the applicant's response to support your summary notations, citing the applicant's exact wording whenever possible.

**Approach: refers to the methods used by an organization to address the Baldrige Criteria Item requirements. Approach includes the appropriateness of the methods to the Item requirements and the effectiveness of their use.**

- What approach or collection of approaches is discussed?
- What areas of the Criteria Item does the approach address (e.g., 1.1a, 1.1.b)?
- Is the approach systematic (with repeatable steps, inputs, outputs, and timeframes; designed to allow evaluation, improvement, and sharing)?
- Is there evidence that the approach is effective?
- Is this approach (collection of approaches) a key organizational process? Is the approach important to the applicant's overall performance? (If yes, clearly state why it is important and cite the key factors used to support your position.)
- Are any of the multiple requirements of the Item which are not addressed (gaps) important to the applicant?

**Deployment: refers to the extent to which an approach is applied in addressing the requirements of a Baldrige Criteria Item. Deployment is evaluated on the basis of the breadth and depth of application of the approach to relevant work units throughout the organization.**

- What information is provided to show what is done in different parts of the organization to confirm the approach is deployed (shared or spread) throughout the organization (early stages, well deployed but with some variation among areas/work units, well deployed with no significant gaps, fully deployed)?

**Learning: refers to new knowledge or skills acquired through evaluation, study, experience, and innovation. Organizational learning is achieved through research and development; evaluation and improvement cycles; ideas and input from faculty, staff, students, and other stakeholders; best practice sharing; and benchmarking. Personal learning (for faculty and staff) is achieved through education, training, and developmental opportunities. To be effective, these types of learning should be embedded in the way an organization operates.**

- Has the approach been evaluated and improved? If yes, is the evaluation and improvement conducted in a fact-based, systematic manner (e.g., regular, recurring, data driven)?
- Is there evidence of organizational learning (i.e., evidence that the learning from this approach is shared with other organizational units/other work processes)? Is there evidence of innovation and refinement from organizational analysis and sharing (e.g., evidence the learning is actually used to drive innovation and refinement)?

**Integration: refers to the harmonization of plans, processes, information, resource decisions, actions, results, and analysis to support key organization-wide goals. Effective integration goes beyond alignment and is achieved when the individual components of a performance management system operate as a fully interconnected unit.**

- How well is the approach aligned with the applicant's organizational needs identified in the other Criteria Items and the Organizational Profile? How well is the approach integrated with these needs? (Examples of needs are strategic challenges, objectives, and related action plans; organizational mission, vision, and goals; key processes and measures; key customer/market segments and requirements; and employee groups and requirements.)

# ATTACHMENT 2—RESULTS MATRIX

Item _____

| **Expected results based on Organizational Profile and Process Items:** |
|---|
| |

| | **Figure** | **Performance levels or Trends** | | | **Comparisons** | | **Linkage: Results address areas of importance** | **Gaps** |
|---|---|---|---|---|---|---|---|---|
| **Area or sub-area to Address** | **Title of Measure and figure number** | **Timeframe (from-to)** | **Level or Rate (from # to #)** | **Direction**<br>+ favorable<br>= no change<br>- unfavorable<br>∿ inconsistent | **Compared to:**<br>-None (N)<br>-Average (A)<br>-Industry Best (I)<br>-Key Competitors (K)<br>-Best-in-class/best-in industry (B) | **Performance vs. comparisons**<br>-Lagging (Lg)<br>-Good/Very Good (G)<br>-Leadership (L)<br>-Benchmark leadership (B) | **Measure or indicator links to:**<br>- key segments (student/ customer/stakeholder groups, employee/staff groups, locations),<br>- process requirements<br>- action plan requirements | **Key requirements not addressed.** |
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| **Missing measures and indicators (discussed in Categories 1-6, measures tied to key factors, strategic objectives, action plans, key customers, markets, processes, etc.):** | | | | | | | | |

## Summary Notations

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# ATTACHMENT 3—SVI WORKSHEET RESOURCE SHEET

**Site Visit Issue Worksheet** (Record only one issue per page.)

Item Reference: _____ *Not originally evaluated at consensus* _____

Issue:

Each Item will normally have 3-5 SVI's. The SVI is "owned" by the Item Lead specified in this field.

**Comment(s) affected:** (An SVI's addresses one or more comments in the consensus scorebook so that by the end of the site visit all comments in the final scorebook have been verified or clarified. List the comments found in the consensus scorebook that are addressed by the findings and conclusions concerning this issue, *e.g., 1.1 first +, 1.1 first OFI, KTa.2, and 5.3 second +*)

**Strategy:** (What information do you need, and how do you intend to obtain it, i.e., persons to interview, specific questions to ask each person [including walk-around questions to check deployment], specific documents to review and for what purpose, and observations to make? Be sure your strategy will address the overall issue as well as the comments listed above.)

Be as complete and specific as possible so that you or another Examiner can carry out your strategy during the site visit. You may need to change some aspects of your strategy as the site visit proceeds depending on your findings. The Judges expect to see that the issue was thoroughly investigated and the methods used to investigate.

**Findings:** (What observations, specific answers, and/or updated results did you find during the site visit? Be specific and include data as appropriate.)

This is an audit trail of the findings. Based on the site visit issue and the strategy above, what was learned? Provide specific information (e.g., documents reviewed, interviews conducted, specific responses to questions, actual data observed). Before the closing meeting with the applicant, ensure that your findings answer the issue and permit you to verify and/or clarify all of the consensus comments referenced in "Comments affected" above.

**Conclusions:** (What is the resolution of this site visit issue based on your findings? For each comment referenced in "Comments affected" indicate 1) the action you will take, e.g., delete/modify/no change; 2) the specific findings that lead you to that action, and 3) the final wording of the comment as it will appear in the site visit scorebook. If a new comment is required it should be included in this section as well.)

Based on the findings above, what is the conclusion? Is the approach systematic and effective? Are there any gaps in deployment? Are results showing sustained positive trends? Are benchmarks and comparisons used and are they appropriate? Has the issue been resolved and have you verified or clarified the comments? Are any comments no longer appropriate? Do you need to create new comments?

The site visit findings indicate that the processes and/or results investigated would have the following effect on scoring:

raise___ , no effect on ___ , or lower___ the consensus evaluation.

**Site Visit Issue Worksheet**

How have your findings affected the scoring for this Item when compared to the consensus score? Verifying existing strengths does not necessarily result in a "raise".

## Baldrige National Quality Program

**Baldrige National Quality Program**
**National Institute of Standards and Technology**
**Technology Administration**
**United States Department of Commerce**
Administration Building, Room A600
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020

The National Institute of Standards and Technology (NIST) is a nonregulatory federal agency within the Commerce Department's Technology Administration. NIST's primary mission is to develop and promote measurement, standards, and technology to enhance productivity, facilitate trade, and improve the quality of life. The Baldrige National Quality Program (BNQP) at NIST is a customer-focused federal change agent that enhances the competitiveness, quality, and productivity of U.S. organizations for the benefit of all citizens. BNQP develops and disseminates evaluation criteria and manages the Malcolm Baldrige National Quality Award. It also provides global leadership in promoting performance excellence and in the learning and sharing of successful performance practices, principles, and strategies.

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